ATHEXCLEAR
Clearing House

EMIR-TR SERVICE
FILE REGISTRATION APPLICATION

USER MANUAL

Version: 1.6 – 10/12/2019

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REVISION TABLE

Ver.	Section	Revision details – Reason for change
1.0		First edition
1.1	Par. 2.3.2. Addition of the new file type in the options. Par. 3.1. The updated specifications file. Par. 3.3. Addition of the collaterals specifications file.	Adjustment to the new model of the Derivatives Market.
1.2	Par. 2 Content restructure. Par. 2.1 Password management description. Par. 2.2 Connection to System description. Par. 2.3 Central Page Update. Par. 2.4 File uploading process description.	Adjustment to the new log-in and password management process.
1.3	Par 2.4 Rename paragraph title. Par. 2.4.1 File types addition – update. Par. 3 Description File Format removed	File types addition and update. Remove Technical Specifications about File Format since they already exist at the corresponding document.
1.4	Par 2.4.1 File types addition – update. Par. 2.4.2 Download response file. Par. 2.4.4 Members UV File (OTC) Par. 2.4.5 Members ETD Files	File types addition and update. Description of Upload – Download transactions files, made in other of ATHEX Exchanges or OTC Derivatives. Download file of transactions cleared by ATHEXCLEAR
1.5	Par. 2.4.5 Members UV File (OTC) Par. 2.4.6 Members ETD Files	Trade Repository change Screenshots update and files workflow. Filename Changes in ETD & OTC files
1.6	Par. 2.4.7 REGIS - Mismatched Fields(D433) member file	New functionality : Mismatched Fields File (for OTC transactions)

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1 GENERAL

1.1 Purpose - Overview

The present manual outlines the functions that are performed by the users of the participants in the EMIR-TR service, via the file registration application.

The following functions are provided in this issue:

1. Logging in the system,
2. User Password Change,
3. Registering a customer file for customers using the EMIR-TR service to deliver reports relating to transactions cleared by ATHEX Clear,
4. Registering a customer file for customers using the EMIR-TR service to deliver reports relating to transactions not cleared by ATHEX Clear,
5. Registering the file of collaterals per customer, using the EMIR-TR Service, in order to submit the reports concerning the transactions cleared by ATHEX Clear,
6. Registering from the Members of the transaction – position files for transactions made in other Exchanges or OTC Derivatives transactions.
7. Receiving registered files results.

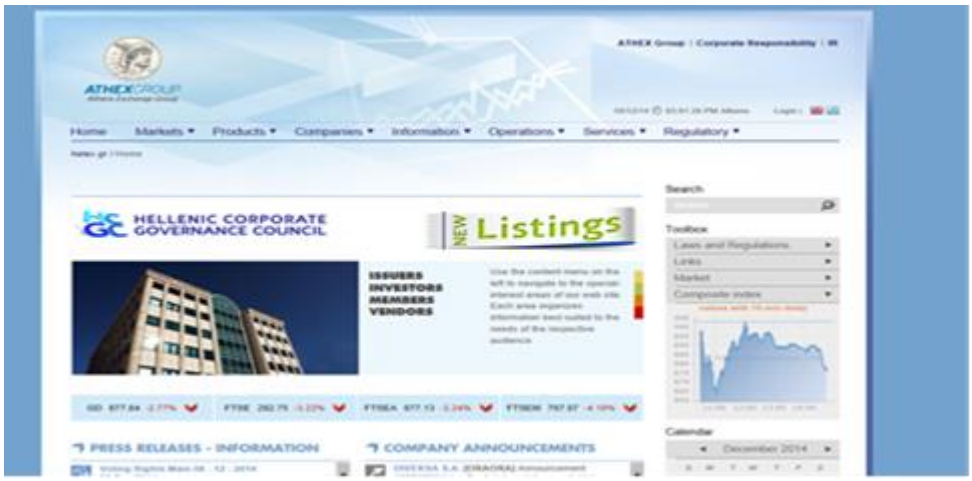
2 MONITOR DESCRIPTION AND OPERATION

2.1 Password Management

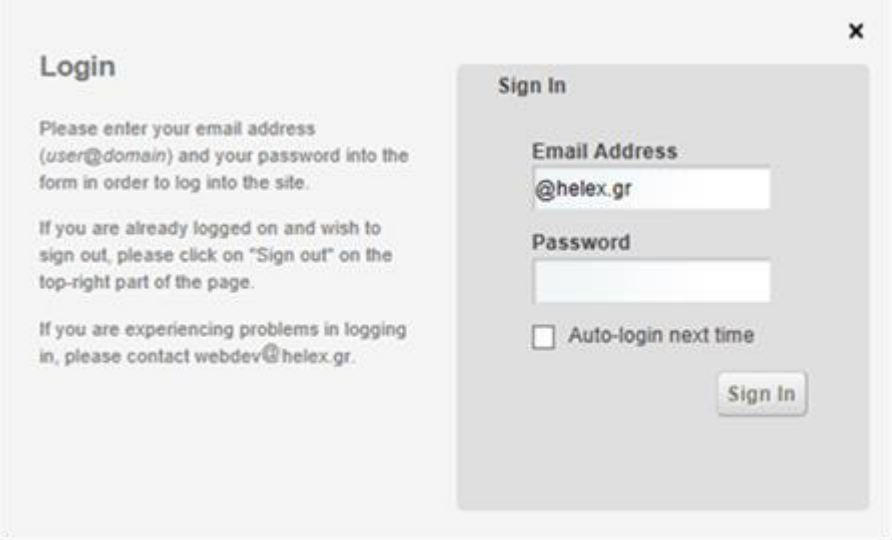
For security reasons, you should regularly change your password. The user's credentials are common for the ATHEX Group Web site and EMIR-TRC Service Portal. Passwords are managed at the ATHEX Group Web site.

2.1.1 Connecting and disconnecting at AthexGroup web site.

In order to connect to the ATHEX Group website, please use the following link: http://www.athexgroup.gr/ .



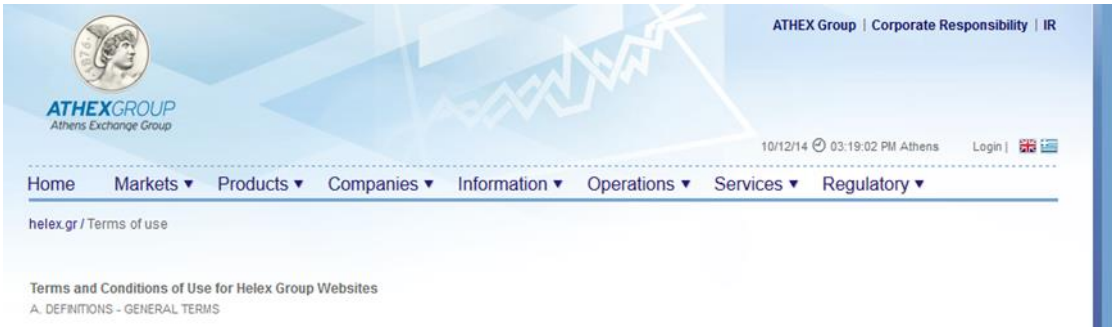
Please choose the option "Login" and the below tab will display. Enter your email address and the corresponding password and then click the "Login" button.



If you have typed your email and password correctly, then on the right top side the name of the user and the “Sign Out” option will be displayed, as shown at the following picture.

2.1.2 Password change at first login

At initiall login the terms of usage of site will be displayed:



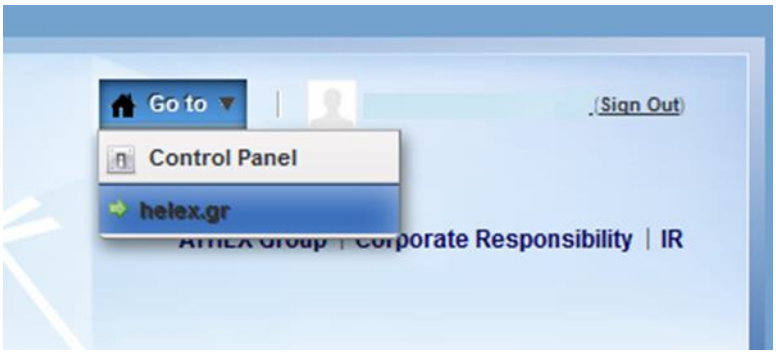
After reading the terms of use, please proceed to the next step of the process by clicking "I agree". On the next screen that appears, type the new password at the fields "New Password" and "Enter Again". Click on the "Save" button in order to submit your new password.

At the next step, please select query password reminder, type the corresponding answer and select "save".

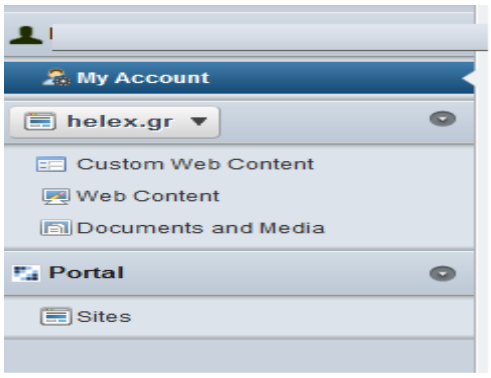
Then you the home page of the site will be displayed.

2.1.3 Password change and management

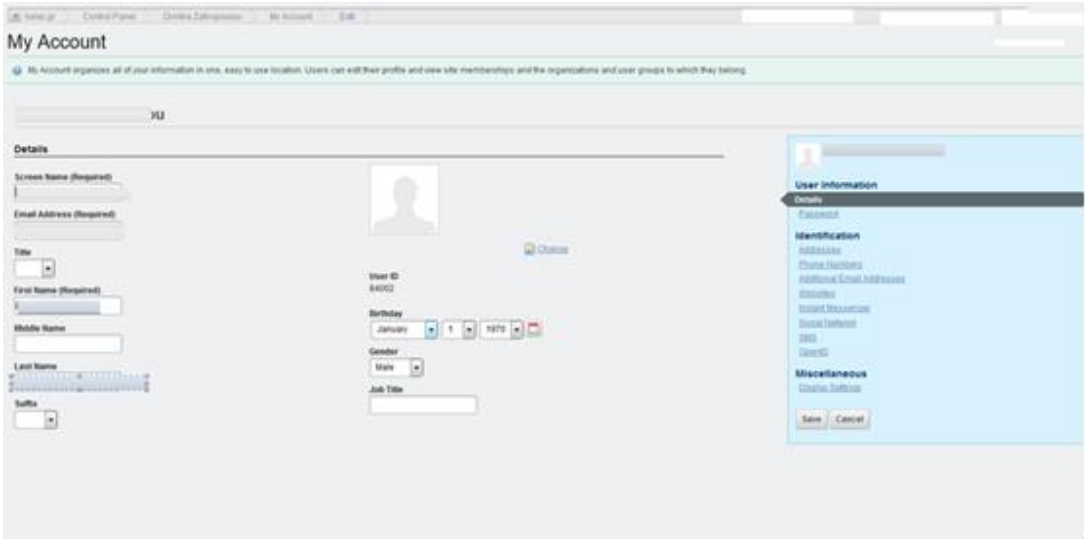
In order to manage your user account data, select the "Control Panel" option under the the "Go To" menu, as shown below.



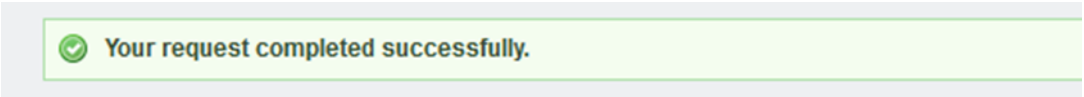
Then you will be redirected to the “Control Panel” page. At the menu on the left, please select "My Account".



On the main information area, at the center should be displayed the following screen.



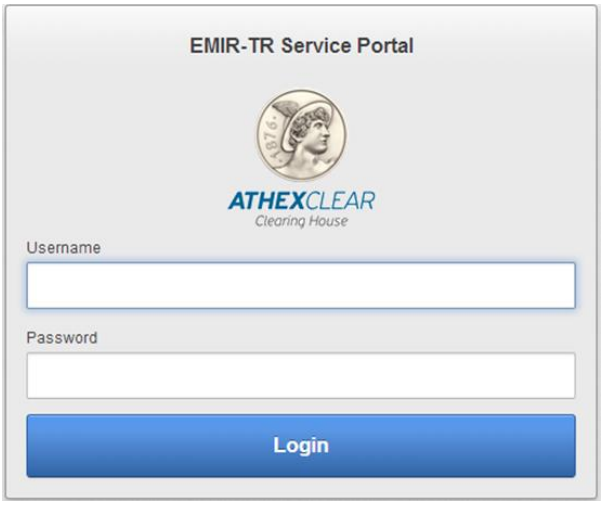
You can change your password from the menu on the right by clicking on the "Password" option. If the changes are registered succesfully the following message will be diplayed.



2.2 Connecting to the System

In order to login to the system, you must use an Internet Browser (Internet Explorer, Google Chrome, etc.) and the computer used must have Internet access.

Enter the address https://tr-portal.helex.gr. You should see the following page.



Please enter your Username and Password as provided to you by AthexClear and then click on the Login button.

If an error message (Invalid Login Credentials) is displayed, try again, making sure that you use Latin characters and the correct combination of uppercase-lowercase letters,

If you enter your details correctly, you will log in the system and a new page will be displayed. The first time you log in, you need to change your Password according to the corresponding instructions.

2.3 Home Page

After connecting to the system, the main page is displayed, where some informational fields appear, as well the main menu of the application.

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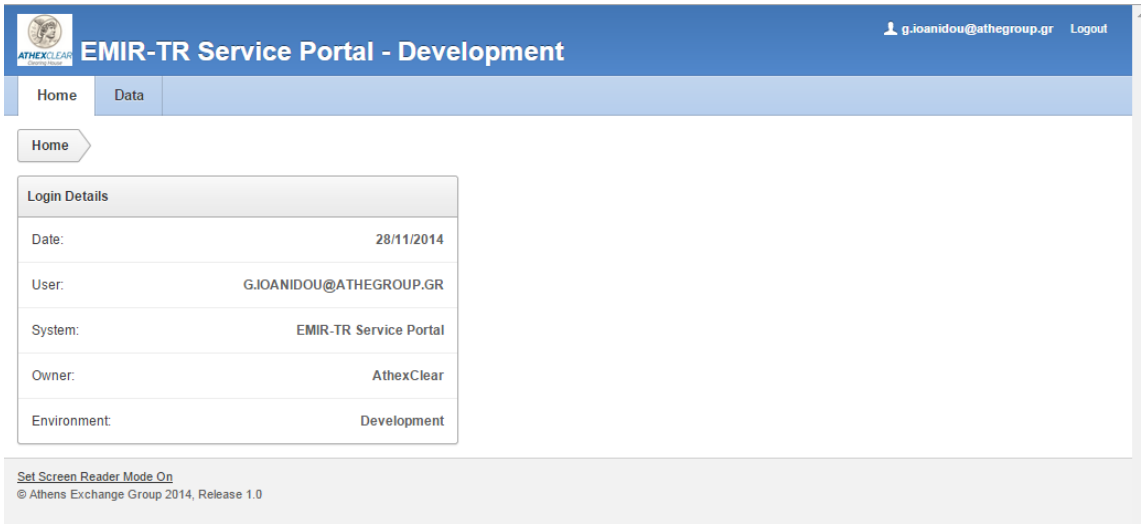
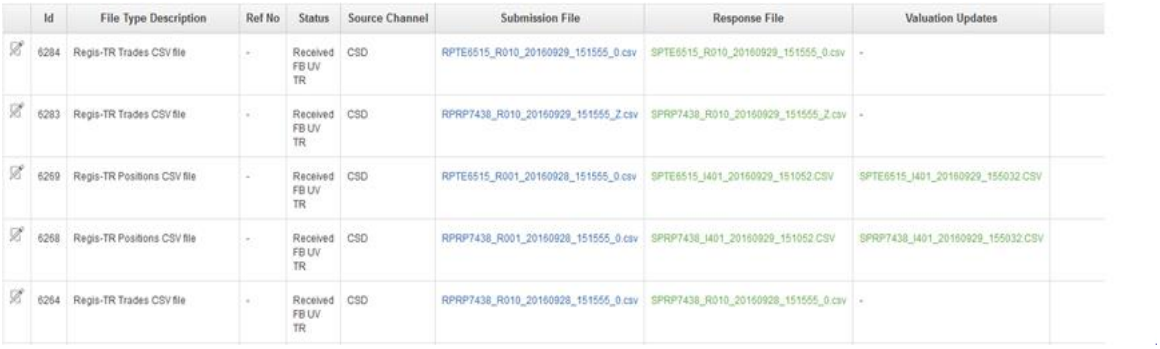


Click the “Logout” button in the upper right corner in order to exit the application.

2.4 File List

2.4.1 File List

Select the “Data” option from the main page and you shall be directed to the following page:



	Id	File Type Description	Ref No	Status	Source Channel	Submission File	Response File	Valuation Updates
	6284	Regis-TR Trades CSV file	-	Received FB UV TR	CSD	RPTE6515_R010_20160929_151555_0.csv	SPTE6515_R010_20160929_151555_0.csv	-
	6283	Regis-TR Trades CSV file	-	Received FB UV TR	CSD	RPRP7438_R010_20160929_151555_Z.csv	SPRP7438_R010_20160929_151555_Z.csv	-
	6269	Regis-TR Positions CSV file	-	Received FB UV TR	CSD	RPTE6515_R001_20160928_151555_0.csv	SPTE6515_I401_20160929_151052.CSV	SPTE6515_I401_20160929_155032.CSV
	6268	Regis-TR Positions CSV file	-	Received FB UV TR	CSD	RPRP7438_R001_20160928_151555_0.csv	SPRP7438_I401_20160929_151052.CSV	SPRP7438_I401_20160929_155032.CSV
	6264	Regis-TR Trades CSV file	-	Received FB UV TR	CSD	RPRP7438_R010_20160928_151555_0.csv	SPRP7438_R010_20160928_151555_0.csv	-

On this page the following files are displayed:

- All files related with your clients and the posted collaterall that you have registered to the system.
- All files you delegate ATHEXCLEAR submit on behalf of you to REGIS TR regarding positions, trades, trades cancelations.
- All files submited from you with transactions- positions not cleared by ATHEXCLEAR.
- All response files from REGIS TR.

. Each file is displayed in a single line. More specifically, the following is displayed:

- The file type / File Type Description.
  - Customer file for AthexClear Transactions
  - Customer LEI for transactions in other markets
  - Customer's collaterals file for AthexClear Trades
  - Member's positions file submitted to REGIS TR (REGIS TR Member Positions ETD CSV file). Name of the file has the following format: (Member's LEI code)_R001 YYYYMMDD_TTMMSS_0.csv.
  - Member's trades and trades cancelations file submitted to REGIS TR (REGIS TR Member Trades ETD CSV file). Name of the file corresponding to trades has the following format: (Member's LEI code)_R010__YYYYMMDD_TTMMSS_0.csv. While the name of the file corresponding to trades cancelations has the following format: (Member's LEI code)_R010__YYYYMMDD_TTMMSS_Z.csv.
  - File with transactions not cleared by ATHEXCLEAR
  - Mismatched Fields File (for OTC transactions).(REGIS - Mismatched Fields(D433) member file)

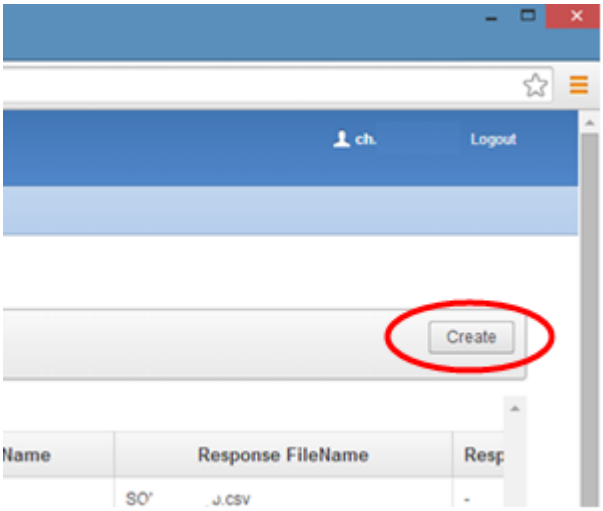
- The date of registration / Insert Date (using the option, it is possible to display past entries in ascending or descending order).
- The time of registration / Insert Time
- Its status (whether its processing has been completed).
- The way in which it was registered / Source Channel.
- A unique registration code / Ref No.
- A link which allows the caching of a file that has been registered in the system / Submission.
- A link which allows the caching of a file that has been created as a reply from the system and contains messages for the successful and potentially error records / Response (from REGIS TR Reporting Engine when it concerns OTC or ETD Files) /Response File .
- A link which allows the caching of a file that has been created as a reply from the system and contains messages for the successful and potentially error records in Trade Repository / Response TR (concerns only OTC or ETD files) / Response File (TR)
- Date and Time of the last update / Last Update ON
- The STATUS of the Response from the REGIS TR Reporting Engine /Response Status
- The STATUS of the Response of the Valuation Updates from the REGIS TR Trade Repository /Valuation Updates

It is also possible to search for files from the field next to the magnifying glass by typing part of their name and clicking "Go", whereas you can implement more advanced search criteria from the “Actions” button, by selecting “Filter.”

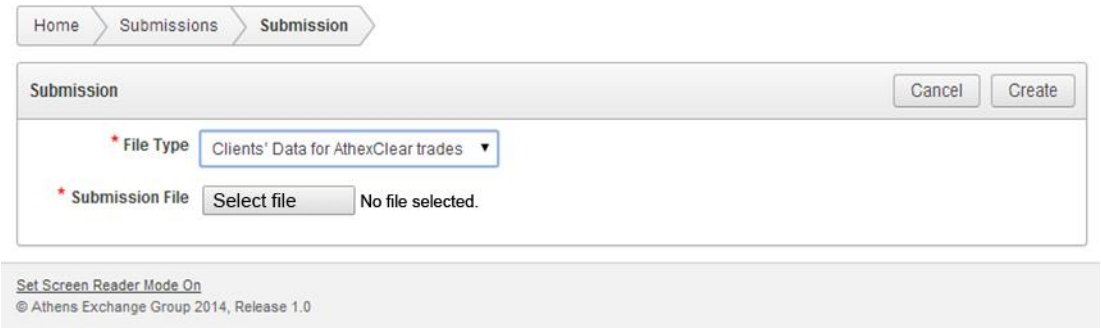
At the bottom of the screen, the number of displayed records appears, as well as two arrows for the transition to the next and previous results page.

2.4.2 File Submission

From the main menu, select the "Data" button. The page with all the registered files is displayed. At the top right of the screen, select the "Create" button to enter a new file.



You will automatically be directed to the following submission page.



Choose the file type you want to submit from the "File Type" selection list, among the following:

1. Customer file for AthexClear Transactions
2. Customer LEI file for transactions in other markets
3. Customer's collaterals file for AthexClear Trades
4. File with derivatives transactions not cleared by ATHEXCLEAR for submission to the REGIS TR

Then, select the file you wish to upload from the computer by pressing the "Choose file" button.

Finally, press the "Create" button. An informational message will appear for the launch of the "Action Processed" process and the file will be transferred to the host system and will display the page with the list of registered files.

2.4.3 Download response file

In order to verify the correctness of the data entered, you should download the relevant response file from the host system.

2.4.4 Files concerning LEIs ,Accounts,Collateral

To do this, at the Data page with the list of submitted files, from the line including the item you loaded and from the “Response” column, touch the “Download” option. Note that this option is not available immediately after loading a file, but takes some time (5'-6') for the processing of the file by the host system.

If the response file contains errors in one or more rows, these entries have not been entered in the system. The remaining rows have been properly registered. Therefore, a new file should be created with the problematic records corrected, which will have to be registered again, following the same process.

2.4.5 Members UV File (OTC)

There is one response provided for this kind of files uploaded to the sytem (with the exception of two responses for the Position Files concluding Valuation Updates). Every upload follows a specific life cycle as described below:

1. The Status “Received” displayed after a user is uploading a file (<filename>.csv) with transactions not cleared by ATHEXCLEAR

   Filename definition:

   - Trades file :RPXXXXXX_R010_YYYYMMDD_TTMMSS_AAAA_0.CSV
   - Cancelations file :RPXXXXXX_R010_YYYYMMDD_TTMMSS_AAAA_Z.CSV
   - Positions file: RPXXXXXX_R010_YYYYMMDD_TTMMSS_AAAA_0.CSV

AAAA is the Clearing Member’s Code given by ATHEXCLEAR and XXXXXX is the code given by REGIS TR to ATHEXCLEAR as Third Party.

2. Up to ten minutes the file is forwarded to the system for proccessing to Unavista and receives Status “Forwarded”.
3. When the initial proccess from REGIS TR is completed, the first response file SPXXXXXX_R010_YYYYMMDD_TTMMSS_AAAA_0(Z).csv is displayed in the field with the name Response (Status: **Received FB UV Trade Reporting).** within 30 minutes time.

The specifications of this file are described in the specifications document given from REGIS TR to its clients. This document will be given by ATHEXCLEAR upon request to the Clearing Members or to their providers as well

- If the file proccessed with no errors, then the filename displays with green font and the field named “Response Status” filled in with value “success”.
- If all messages included in the proccessed file having errors, then, the filename displays with red font and the field “Response Status” filled in with value “full-error”.In

that case the wrong messages will not be proccessed to the Trade Repository and the user should check the file and re-uploade it after make corrections.

- If the file just proccessed includes specific errors, then the filename displays with yellow font and the field named “Response Status” filled in with value “partial error”. In that case the wrong messages will not be proccessed to the Trade Repository and the user should check the file and re-uploade a new one after make corrections.
- In any other case the Response Status filled in with the value “other”

4. As REGIS TR specifies, after two (2) hours, the second file with the filename SPXXXXXX_I401_YYYYMMDD_TTMMDD.CSV is received in the field Valuation Updates and the Status field is filled in with the value “**Received FB UV TradeReporting”**

The specifications of this file are described in the specifications document given from REGIS TR to its clients. This document will be given by ATHEXCLEAR upon request to the Clearing Members or to their providers as well

- If the rensonse file has no errors, then the filename displays with green font and the field “response Status” filled with value “success”
- If the file just proccessed includes specific errors, then the filename displays with yellow font and the field named “Response Status” filled in with value “partial error”. In that case the wrong messages will not be proccessed to the Trade Repository and the user should check the file and re-uploade a new one after make corrections.
- In any other case the Response Status is filled in with the value “other”

It is obvious that a user in order to succesfully submit a specific set of records, may need more than one submission. The succesfull submission of a file depends to the results and the error messages.

Every submission is independent from the previous ones. The user is rensponsible for the proper completion of the reporting procedure when there are additional submissions.

For example: a user submits initially a file inluding 100 records receiving the first response with 15 fail and 85 Reported To TR.

Then a second file can be submitted including 15 corrected records or the initial file can be submitted with the 15 records corrected.

Caution!!!

If it is about to upload files of different types (trades, valuations, positions) for various dates , one must ensure that uploading order is appropriate under the REGIS TR rules (eg first trades and then positions), and between consecutive upload elapse at least 10 minutes.

The uploading procedure is repeated separetelly for every different reporting type (trades,trade cancelations,positions).

2.4.6 Members ETD File

Users can monitor files submission of the ETD transactions and positions files (file types: REGIS TR Trades CSV member file, REGIS TR Positions CSV member file), created automatically regarding transactions cleared by ATHEXCLEAR. Filenames for this kind of files as it mentioned above, are like:

- Trades File : Member's LEI_R010_YYYYMMDD_TTMMSS_0.CSV.
- Trades Cancelation : Member's LEI_ R010_YYYYMMDD_ TTMMSS_Z.csv .
- Positions : (Member's LEI)_ R001_YYYYMMDD_ TTMMSS_0.csv

2.4.7 Mismatched Fields File (for OTC transactions)

In case there are differences regarding the values between the respective fields of the transaction files reported by the counter parties to the Trade repositories a file appears on a daily basis including these differences as in form :

Member's LEI_ D433_YYYYMMDD_HHMMSS.csv