Trade Reporting System
User Manual

keler

"Management of SFTR Reports"
v. 1.1.

Contents

General Introduction

This document is the user manual of the KELER's Trade Reporting system. Each version of the system has a complete user documentation complying accurately with the current version.

User interfaces, input and output data

In the following section, we list the screens implemented in the system, the data presented by them, the potential validations and the buttons defined on the screens.

1.1.   Login screen

Before entering, the user may decide which of the offered languages he wishes to use. After changing the language, the login screen is reloaded with the elements of the selected language. The labels and messages of all further screens will appear in the selected language.

The login screen shows a field for entering the user ID and the password, if the user tries to access the website during operating hours.

If the user tries to access the website outside operating hours, then the message specified by KELER will appear on the screen.

After entering the username and the password, the system authenticates the user.

During the first login, or if KELER "Operator" provides a new password, the modification of the password is compulsory. No transaction may be performed on behalf of the user unless the password is modified.

The user meets this screen first. This logs the user in after entering the proper data.
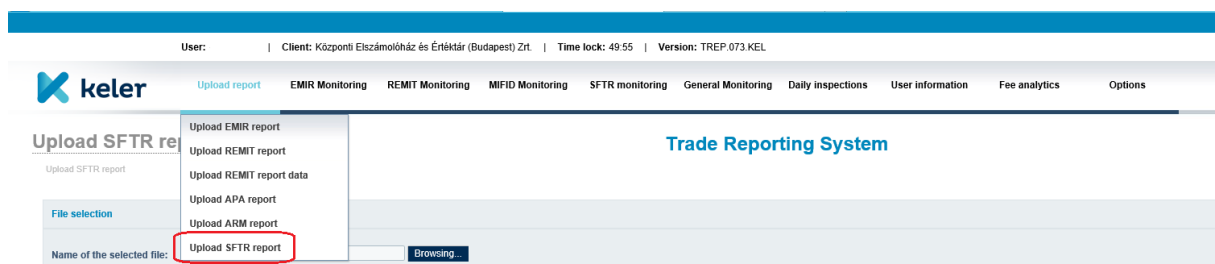
2. Uploading reports

2.1. Uploading SFTR reports

Reports may be uploaded from the user's own computer or from a network drive of the local network. The extension of the file appearing in the opening window may only be "XML".
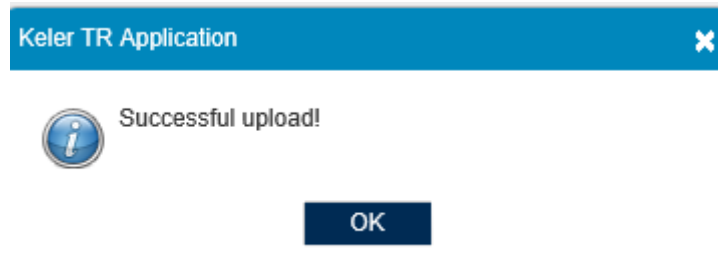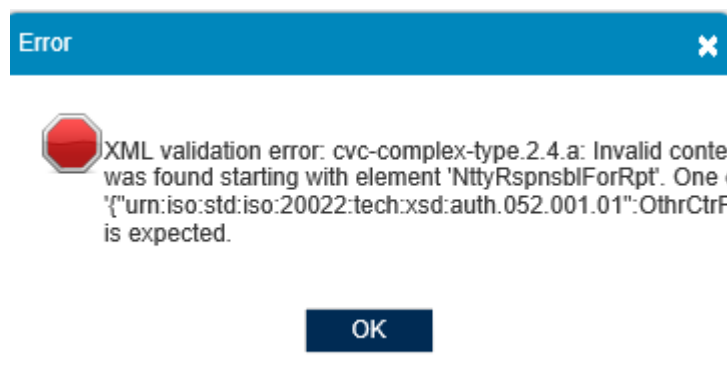

Main functions:

- **File upload:** uploading and checking of the file begins after clicking on the button.
  - ○ **XML** file upload:

    Storing the file in the file system: the file is not stored with its original filename.
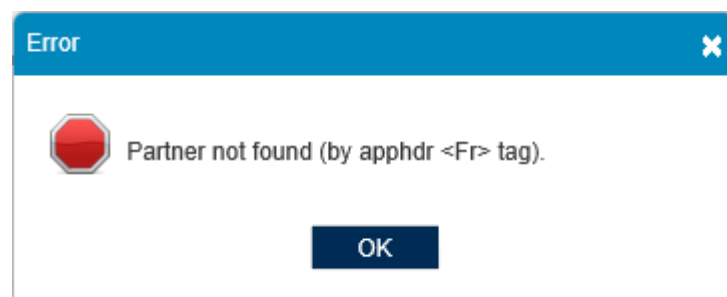
2.1.1. Uploading a file

- After loading the file successfully, the following information appears:

- If there is a formal error in the file, the following window appears:

- An error message pops up if the authentication is unsuccessful:

- If any ID (technical record id, business message id, unique trade id) is duplicated, the following error message is presented:

- Uploading is only permitted between the specified time parameters. If the upload is not allowed yet, the following error message pops up:
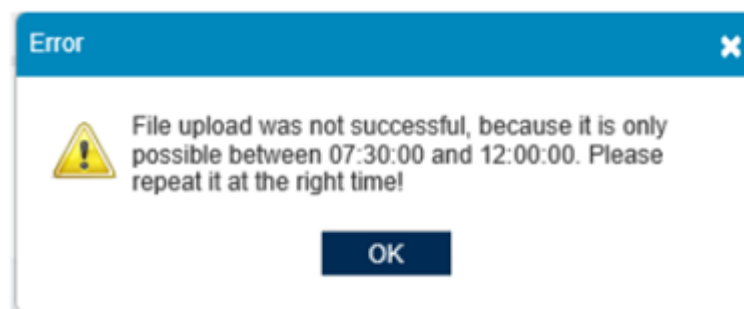
2.1.2. Mass file upload

We also offer the possibility to select and upload multiple files. By using **ctrl + left mouse button and shift + left mouse button** we can select the files individually or jointly from the folder. After loading the files, we can see the following summary window, indicating the results of loading the files. If the loading is unsuccessful, then click on the icon and the explanation of the error is presented.

In case of successful upload, we can see the following message for each row:

File upload list	
File name	**Upload result**
SFT1052020060910009308024.xml	✔
SFT752020060910009312320.xml	✔
SFT752020060910009312584.xml	✔
SFT972020060910009311895.xml	⟳

OK

However, in case of unsuccessful upload, a warning can be seen and the results of the upload are presented after clicking on the button.

File upload list	
File name	**Upload result**
SFT_752020060910009306505.xml	✖
SFT_1022020060810009301922.xml	✖
SF109202006082.xml	✖
SFT_982020060910009306642.xml	✖

OK

3. SFTR Monitoring

3.1. SFTR report package monitoring

The page reflects the list of the uploaded files. The uploads may be selected by using the filters. This screen presents the report packages belonging to the partner related to the user, and the user cannot see the data of other partners.

By clicking on the icon ▣ of the "transaction file log" belonging to the item of the search list, the transaction log related to the file can be accessed.

By clicking on the icon ▣ of "TR data query", the user is navigated to the transaction data query window, where the basic data of the sent report package appear and the file contents can be queried.

Both the uploaded and the response files can be downloaded here. By clicking on the "download" icon, we can see the sent files. By clicking on the "status download" icon, we can see the current REGIS-TR processing status in xml format.

On the monitoring page of the SFTR reporting package, there is a View Reports button. By using this, the system presents the items found in the transaction selected by us with the ✔ button, by the help of the SFTR Report Monitoring interface.

The data of the listed items can be downloaded in Excel format.

As a result of the question appearing before downloading, we can export all of the data or the data presented on the screen.

3.2. *SFTR Report Monitoring*

On the screen, we can view the reports of the previously sent transactions by using the "start query" button.

The data of the listed items will be presented in a column format, with search, filter and order functions.

By default, we always display the given columns, and the list can be extended by using the function button in the upper left corner. If we would like to extend our list with all of the offered columns, we can do so by using the ✓ button in the upper row. We also have the possibility to extend our report with one or two columns only.

The interface also offers the possibility to export the displayed data. We can do this by using the "Download" button as described in the previous chapter.

4. SFTR Statistics

Statistics are also available and downloadable from the KELER TR system for a given period. For quicker query, the system offers fixed values (related to daily, weekly, monthly data).
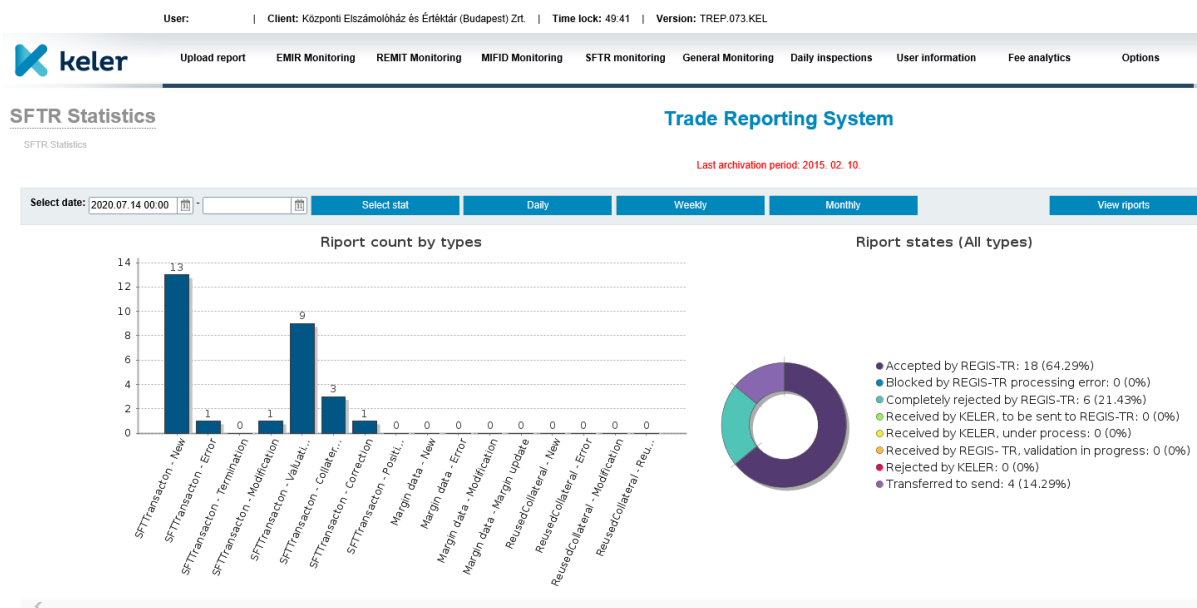
This display shows quantities, but these can be broken down into transaction level. By default, the system shows for the given day how many of the various types of reports have the various possible statuses. By clicking on the "View reports" button next to the report quantities, the system displays the rows of the given reports complying with the parameters on the SFTR Report Monitoring interface.

5. General Monitoring

5.1. Activity monitoring

The partner's user in "administrator" role may check the activities of the users in "data controller" (and of course in "administrator") roles. In addition to the possible filters (e.g. user, date range, activity), the results list contains the necessary information related to the activity, which is queried by the system from the user activity log.

Major filter views:

- **User:** name of the person. It is also possible to filter details of the name (%like%)
- **Date of activity:** start and end of the user's activity.
- **Activity:** select the activity.
- **Partner:** select the partner.

6. User information

After the first login, the password shall be changed. All users can perform maintenance, but he can only see his own data.

The users are recorded and the other data are maintained by KELER "Operator".

When starting the function, the user immediately gets to his own user maintenance page without filters and results list.

The user may only modify his own data partially (e.g. password, phone number, email), but he cannot perform any system administration function.

Explanation of the major fields:

- **User ID:** login code of the user
- **Username:** full name with title
- **Language:** user language
- **Password:** login password
- **Confirm password:** the password written in this field shall comply with the password written in the previous field
- **Phone number:** Phone number of the user
- **E-mail:** e-mail address of the user

- **Recording date:** date of recording
- **Date of modification:** date of modification
- **Date of approval:** date of the 2nd level approval performed according to the 4-eye principle
- **Partner:** the partner, to which the user is allocated, and whose orders the user may upload and see. KELER may also be a partner, which in this case indicates the internal user.
- **Role:** role of the user on the basis of which the rights are granted
- **Time of the last login:** date of the previous login

7. *Business continuity plan (BCP)*

In case of operation differs form normal and problems that cannot be solved within a given daily operating time of KELER's Trade Reporting system, the following BCP process shall be applied.

7.1. *Trade reporting system access problem*

If there is an interruption of the internet connection between the partner and KELER, or there is an error accessing the Trade Reporting service due to other issues, it is necessary to ensure the reception of reports and transfer them to REGIS-TR. In this case, the Trade Reporting web interface is available to internal users of the system, and the validation functions related to manual file upload can be used.

Accordingly, the files received trough the alternative channel will be processed immediately and will be uploaded by KELER's assigned employee at the same time.

During the measure, it is only possible to receive and upload files within the framework of BCP. The reports are sent by the partner as a formatted XML file in accordance with the schema requirements used by the Trade Reporing system's web interface.

If the communication between the KELER's Trade Reporting system and the REGIS-TR's system works properly, the following steps shall be followed.

The partners should send the reports in a compressed, password protected file to the e-mail address indicated in the customer information sent by the Service Desk Team. The password required for decompression is sent by the partner to the designated employee of KELER trough a separate channel. The decompressed files are uploaded to the Trade Reporting system by KELER. Status notifications of uploaded reports can be verified later in the system.

If not only the partner does not access the KELER's Trade Reporting service, but also the access of REGIS-TR's system is not possible, the report files will not be accepted electronically, there will be no clerical tasks beyond the communication and customer information obligations on KELER's side until the connection is restored.

7.2. Trade reporting system failure

If the Trade Reporting system does not operate, it is not possible upload reports on its web interface, the web service calls of external and internal users will not be answered. Since the Trade Reporting system performs control and transformation tasks that cannot be replaced by manually, in this case the reporting service is not available until the system is restored.

After the restoration of the operation, KELER will perform the necessary checks and validations. It is necessary to identify the pending messages in the procession queue, and KELER will start sending them automatically.

7.3. Trade repository access problem

If the internet connection between KELER and REGIS-TR is lost, it is not possible to transfer data to the Trade Repository. Accordingly, reports can only be submitted to REGIS-TR once the internet connection has been restored. The trading data received from the partners cannot be transmitted to REGIS-TR using other channels, therefore it is not possible to perform the BCP process in this case.

Due to the unavailability of REGIS-TR, the items uploaded by the partners via web service call will get rejected status. This can be tracked on Trade Reporting system's monitoring function.

After the restoration of the connection between KELER's Trade Reporting system and REGIS-TR, KELER ensures that the synchronization has been restored, that the newly posted items have been transferred correctly, and that the business statuses have been processed by the Trade Reporting system in order.