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TRS Report Format for reporting party
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TRS Report Format for reporting party

1 Summary

This document contains report formats for Transaction reports from Reporting Party

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Revision history

Version	Date	Remarks
2.31	2007-06-04	The document is renamed from Transaction Report Format SE RP v2.3. New header and formatting according to TRS template No functional changes
2.32	2007-06-07	Reference to XML file added New and changed comments in the fields trading capacity, counterparty, venue identification, venue ref trans number and client code
2.33	2007-06-26	Changed clientcode field to optional, see comments. Changed comments in field Venue Reference Number. Update transaction record type removed.
2.34	2007-08-23	Counterparty changed. "C" for ClientCode Clientcode optional unless CounterpartyCodeType="A" Update transaction cleanup
2.35	2007-10-17	Changed maxLength from 40 to 70 for Client code
2.36	2008-04-03	Added new option "B" for attribute CodeType of the Venue element. Added new section for Alternative Instrument Identification. Changed min-restriction for the Quantity element from minInclusive to minExclusive.
2.37	2008-04-18	Changed maxLength from 70 to 40 for ClientCode
2.38	2008-06-11	Added more information to the XML-elements Exchange Product Code and Strike Price.
2.39	2008-06-16	Updated fields Quantity, Unit Price and Venue Reference Transaction Number

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		field with more information about the field content.
2.40	2008-06-19	Added more information how to handle the Instrument-element versus AIIInstrumentIdentification-node.
2.41	2008-08-27	Added restriction excluding negative UnitPrice and negative AIIStrikePrice
2.42	2008-09-08	<p>Changed the text of the Unit Price so the text reflects the new restriction - negative values are not allowed.</p> <p>Added text to Strike Price excluding negative values</p> <p>Added information text to Price Notation.</p> <p>Deleted comment for the AII Maturity Date.</p> <p>Changed the Remarks in revision history for version 2.37 and 2.41 to make it more clear which fields are affected.</p>
2.43	2008-09-10	Corrected the versioning of the referenced TransactionFeedback.xsd from version 1.0 to version 2.1
2.44	2009-02-10	<p>Deleting of fictive ISIN code in the comments of Instrument identification and other clarifications.</p> <p>Added comment in field Client identifier local on how to report jointly owned accounts.</p>
2.45	2009-04-03	Added comment in field Venue reference transaction number regarding trades on Burgundy.
2.46	2009-05-20	Added comment in field Venue reference transaction number regarding trades on EMCF.
2.47	2009-07-03	Added comment in field Venue reference transaction number regarding trades on Nasdaq OMX Stockholm INET.
2.48	2009-09-28	Added information in field

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		Counterparty code & Counterparty code type regarding central counterparty and BIC code. Minor corrections and clarifications in the rest of the document.
2.49	2010-02-04	Added comment in field Venue reference transaction number regarding trades on NGM Elasticia Changed comment regarding Client name for Denmark
2.50	2010-05-17	The '+' symbol is also accepted in the validation of the AII Exchange Product Code . Restricted the length of Venue Identification to be 4 or 11.
2.51	2010-09-08	The "&"-symbol is accepted in the validation of the AII Exchange Product Code .
2.52	2010-10-08	Reorganized with respect to transactions and cancellations. Reg. BIC contact SWIFT. DK comment regarding TradingCapacity, ClientCode and ClientName. Client has a mandatory attribute. Description where attributes exist modified.
2.53	2011-04-29	Amended information in field Venue reference transaction number regarding trades on Genium INET. Added information in the same field regarding trades on Oslo Stock Exchange.
2.54	2012-08-27	Clarification in the price notation field regarding currency.
2.55	2012-11-29	Changes in "Comments" section regarding mandatory information when reporting to Norway. The changes are made in these fields: Venue reference transaction number, Client & Client Codetype, Client Identifier Local, Client Name, Client Street, Client Zip Code, Client City and Client Country.

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2 Report Formats

2.1 Transactions

Meta Data	Value
Name	Technical reporting firm identification
Description	A technical reporting firm is an organisation which is approved to send transaction reports to the authority on the behalf of a MiFID investment firm or itself.
XML element / Tag	<TechnicalReportingFirm Identification>
XML format	String
Validation	Input is mandatory. Must be a valid 11characters ISO 9362 SWIFT/Bank identifier code(BIC).
Values	ISO 9362 [A-Z0-9]{11}
Comments	

Meta Data	Value
Name	Reporting firm identification
Description	BIC code of the MiFID investment firm which executed the transaction.
XML element / Tag	<ReportingFirm Identification>
XML format	String
Validation	Input is mandatory. Must be a valid 11characters ISO 9362 SWIFT/Bank identifier code(BIC).
Values	ISO 9362 [A-Z0-9]{11}
Comments	

Meta Data	Value
Name	Transaction record info type
Description	Contains data related to the transactions associated to a financial instrument.
XML element / Tag	<Transaction>
XML format	
Validation	
Values	
Comments	A single transaction, identified by the same Transaction reference number, may only occur once per transaction record

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type (TransactionRecordInfo or Cancellation Transaction type) within one transaction report file.

Meta Data	Value
Name	Transaction reference number
Description	A unique identification number for the transaction provided by the MiFID investment firm or a third party reporting on its behalf. An alphanumeric field up to 40 characters for the unique transaction reference number for each transaction reported by a particular firm. The value must be unique per ReportingFirm.
XML element / Tag	<TransactionReferenceNumber>
XML format	String. minLength 1. maxLength 40.
Validation	Input is mandatory.
Values	
Comments	This field will be used as a reference to the transaction in all communication between the authority and the reporting firm. How to populate the field is free as long as the number will stay unique per ReportingFirm. One way of populating the field could be to use the date combined with a sequence number.

Meta Data	Value
Name	Trading date time
Description	The date, time and time zone when the trade was executed.
XML element / Tag	<TradingTimestamp>
XML format	DateTime
Validation	Input is mandatory.
Values	Must be a valid ISO 8601 DateTime value. Must consist of date, time and time zone. Format: YYYY-MM-DDTHH:mm:ss+hh :mm YYYY = Year; MM = Month; DD = Day; HH = Hour; mm = minute; SS = second; hh=Time zone hour(+/-) and minutes.
Comments	Populate the field with your local time and time zone. As time offset is based on UTC time, you should adjust it for summer/winter time. Summertime +2, wintertime +1 in Sweden, Denmark and Norway. For Finland it is +3 during summertime and +2 during winter. For Iceland it is 0 all year

Meta Data	Value
Name	Buy/Sell indicator

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Description	Identifies whether the transaction was a buy or sell from the perspective of the reporting investment firm if acting as principal, or of the client if acting as an agent.
XML element / Tag	<BuySellIndicator>
XML format	String.
Validation	Input is mandatory.
Values	B = Buy. S = Sell.
Comments	

Meta Data	Value
Name	Trading capacity
Description	The trading capacity of the MiFID investment firm executing the transaction.
XML element / Tag	<TradingCapacity>
XML format	String.
Validation	Input is mandatory.
Values	On its own account (either on its own behalf or on a behalf of a client: P = Own account / portfolio. M = Market maker. C = Own account as agent for a customer. W = Warehousing. For the account, and on behalf, of a client: A = Agent.
Comments	The market transaction is performed as of: Own account(P), own account as market maker(M), own account as agent for a customer(C), own account as agent for a customer spread over several days e.g. Warehousing(W), agent for a client (A). Instead of using all 5 values it is sufficient to use “On its own account (either on its own behalf or on a behalf of a client” = P (Principal) and “For the account, and on behalf, of a client” = A (Agent). In Denmark only P and A are valid.

Meta Data	Value
Name	Instrument identification
Description	The ISIN code that uniquely identifies the financial instrument which is the subject of the transaction,
XML element / Tag	<Instrument>
XML format	String. minLength 12.

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	maxLength 12.
Validation	Input is mandatory if the XML node <AIIInstrumentIdentification> is missing.
Values	Must be a valid ISO 6166 ISIN code.
Comments	

Meta Data	Value
Name	Alternative instrument identification
Description	Identifier for Alternative Instrument Identifier (AII) code. Composed by 6 mandatory fields.
XML element / Tag	<AIIInstrumentIdentification>
XML format	AIIInstrumentIdentification is a complex element. The element is composed by 6 mandatory fields.
Validation	Input is mandatory if the XML element <Instrument> is missing.
Values	
Comments	This XML-node should only be submitted when the transaction is for an AII-instrument,

Meta Data	Value
Name	AII Exchange Code
Description	The identification of the regulated market that admits the derivative to trading.
XML element / Tag	<AIIExchangeCode>
XML format	String. minLength 4. maxLength 4.
Validation	Input is mandatory.
Values	Value must be a valid ISO 10383 Market Identifier ([A-Z] [0-9]){4}
Comments	

Meta Data	Value
Name	AII Exchange Product Code
Description	A code that is uniquely associated with a particular underlying instrument and settlement type and other characteristics of the contract.
XML element / Tag	<AIIExchangeProductCode>
XML format	String. minLength 1. maxLength 12.
Validation	Input is mandatory.
Values	([A-Z][0-9]\+ &)*

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Comments	<p>The code is maintained by the derivative exchanges and is freely and generally available to all parties.</p> <p>The Exchange Product Code can be up to 12 alphanumeric chars with no space padding. The '+' symbol is also accepted. Note: the '&' symbol is also accepted. As the '&' symbol (ampersand) is a XML special character, it should be reported as '&amp;'.</p>
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Meta Data	Value
Name	AII Derivative type
Description	Single character identifying whether the instrument is an option or a future.
XML element / Tag	<AIIDerivativeType>
XML format	String. minLength 1. maxLength 1.
Validation	Input is mandatory.
Values	O = Option. F = Futures.
Comments	

Meta Data	Value
Name	AII Put/Call identifier
Description	Single character identifying whether the option is a put, call or a future.
XML element / Tag	<AIIPutCallIdentifier>
XML format	String. minLength 1. maxLength 1.
Validation	Input is mandatory.
Values	P = Put. C = Call. F = Futures.
Comments	The field should be filled with "F" in case the derivative type is a future.

Meta Data	Value
Name	AII Expiry/Delivery/Prompt date
Description	Exercise date/ maturity date of the derivative contract.
XML element / Tag	<AIIMaturityDate>
XML format	Date
Validation	Input is mandatory.

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Values	Must be a valid ISO 8601 extended Date value Format: YYYY-MM-DD YYYY = Year; MM = Month; DD = Day
Comments	

Meta Data	Value
Name	AII Strike price
Description	For those instruments admitted to trading in an AII market, it corresponds to the strike price in case of an option. There is no strike price for futures.
XML element / Tag	<AIIStrikePrice>
XML format	Decimal. Point is used, not comma. totalDigits 19. fractionDigits 5. minInclusive 0
Validation	Input is mandatory.
Values	It should be 0 in case of a future. Negative values are not allowed.
Comments	The strike price should be expressed in the major currency.

Meta Data	Value
Name	Unit price
Description	The price per security or derivative contract excluding commission. In the case of a debt instrument, the price should be expressed as a percentage and excluding accrued interest (clean price).
XML element / Tag	<UnitPrice>
XML format	UnitPrice is a choice between PriceCurrency and PricePercentage. Decimal. Point is used, not comma. totalDigits 19. fractionDigits 5. minInclusive 0
Validation	Input is mandatory.
Values	Negative values are not allowed.
Comments	It express whether : <ul style="list-style-type: none"> - The price in percentage in case of a debt instrument or - the unit price of a security or - the price of one derivative contract It should be a positive value or zero.

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Percentage values populates the field with integers and decimals, e.g. 12,34% is populating the field with 12.34.

For bonds, the unit price field should be populated with the relative price expressed as a percentage.

Meta Data	Value
Name	Price notation
Description	The ISO code of the currency in which the price is expressed or the currency of the nominal value in case of a price expressed in percentage.
XML element / Tag	<PriceNotation>
XML format	String.
Validation	Input is mandatory.
Values	Must be a valid ISO 4217 currency value (pre-euro ISO currency codes are also allowed for bonds). [A-Z] {3}
Comments	The major currency should be used – e.g. Euros rather than cents.

Meta Data	Value
Name	Quantity
Description	The number of units of the financial instrument, the total nominal value of bonds, or the number of derivative contracts included in the transaction.
XML element / Tag	<Quantity>
XML format	Decimal. minExclusive 0. totalDigits 19. fractionDigits 5.
Validation	Input is mandatory.
Values	Negative values or zero are not allowed.
Comments	

Meta Data	Value
Name	Counterparty & Counterparty code type
Description	Identification of the counterparty of the transaction. Depending on the counterparty, this field contains: <ul style="list-style-type: none"> - where the counterparty is a MiFID investment firm, the full 11 character BIC code is used to identify the investment firm. - where the counterparty is a regulated market or MTF the field

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should be populated with the MIC code of the trading venue
 - where the counterparty is a central counterparty the field should be the BIC code of the central counterparty.
 - where the counterparty is not a MiFID investment firm, a regulated market, an MTF or entity acting as a central counterparty, the field should be populated with an internal code. In this case this counterparty codetype should be 'C' for 'customer/client'.

The table below summarizes these standards:

Counterparty	Codetype	Value	ISO
Investment Firm	B	11 character BIC Code	9362
Regulated Market	M	MIC Code	10383
MTF	M	MIC Code	10383
Central counterparty	B	BIC code	9362
Other	C	Internal code – up to 40 characters	

XML element / Tag	<CounterParty CodeType="B">NNNN</CounterParty>
XML format	CounterParty is a complex element. It has an attribute CodeType followed by the actual counterparty identification. String. minLength 1. maxLength 40.
Validation	Input is mandatory.
Values	Attribute CodeType: B = Value must be a valid 11 characters ISO 9362 SWIFT/Bank identifier code(BIC). M = Value must be a valid ISO 10383 Market Identifier Code(MIC). C = Customer/Client. Use an internal code.
Comments	Where the counterparty is not a MiFID investment firm, and the counterparty has no BIC-code, an internal code can be used. If the counterparty is a MiFID investment firm use the BIC code of the head office. Where the counterparty is a foreign branch of a MiFID investment firm, the BIC code of the branch must be used. Contact SWIFT for valid BIC codes.

Meta Data	Value
Name	Venue & Venue code type

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Description	Identification of the venue where the transaction was executed. A trading venue is an MTF, regulated market (RM) or Systematic Internalizer (SI). The four character SWIFT MIC code (ISO 10383) should be used when the venue is an MTF or a regulated market. If the venue is an SI the BIC code should be used. If the transaction is made off market, the 'XOFF' should be used.
XML element / Tag	<Venue CodeType="M"></Venue>
XML format	Venue is a complex element. It has an attribute CodeType followed by the actual venue identification. String. minLength 4. maxLength 11.
Validation	Input is mandatory.
Values	Attribute CodeType: M = Value must be a valid ISO 10383 Market Identifier Code(MIC). B = Value must be a valid 11 characters ISO 9362 SWIFT/Bank identifier code(BIC). O = Value must be XOFF. This to indicate an off market transaction. [A-Z 0-9] {4 11}
Comments	The MIC shall identify the actual venue and not the market operator. Contact SWIFT for valid BIC codes.

Meta Data	Value
Name	Venue reference transaction number
Description	The venue transaction reference number if the transaction is performed on a regulated market or MTF.
XML element / Tag	<VenueReferenceNumber>
XML format	String. minLength 0. maxLength 40.
Validation	Input is optional, see comments.
Values	
Comments	This field is mandatory when Venue identification is "M". Optional if the venue reference transaction number is not yet known because the transaction is subject to rules of the marketplace and subsequently reported. For Nasdaq OMX Genium INET trades use the deal number.

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- For OMNet use the field deal_number in query CQ10/CQ11 or broadcast BD6.
- For FIX use the tag Trade ID. The field is split into 2 parts separated by a colon (:), and the deal number is the first part, before the colon. The value shall be converted from HEX format to numeric format.

For Nasdaq OMX EMCF trades use the field in record code 410 tag no 180, External position account id. The field is split into 2 parts separated by a colon(:) and the TradeNo is in the last part, after the colon. Valid from EMCF CIF specification version 3.

For Nasdaq OMX INET trades use the Trade ID in private data. Valid from the start of INET, late 2009.

- FIX: The Trade ID in tag 1003 is constructed as follows:
 - Auto-match trades → Tag 1003=<9 char OUCH Match Number>
 - Routed trades → Tag 1003=<1 char Host ID "F"><9 char ID Number>
 - Reported trades → Tag 1003=<1 char Host ID "V"><9 char ID Number>
- OUCH: The Trade ID is populated in field Match Number

For NGM Elasticia any of the following fields can be used since a trade has the same reference number on both the public and the private services: field TradeID (1003) in message TradeCaptureReport (AE) or field MDEntryID (278) in message MarketDataIncrementalRefresh (X) or message MarketDataSnapshot (W) provided that field MDEntryType (269) is set to Trade (2).

For Burgundy EMAPI use tradeID, i.e from TRADExpress use field Trade ID from Trade Event (16)

For Burgundy FIX use ExecID excluding bid or ask information, i.e from TRADExpress use field Exec ID from the execution report and remove the last two characters ("-A" or "-B"). This information will be 16 characters long.

Transactions on Oslo Stock Exchange in equities, equity certificates, exchange traded products (ETF and ETN) and warrants shall be identified with a Trade ID consisting of up to 17 alfa-numeric characters. The values are case sensitive and

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both legs of the transaction receives the same id. In the feed from the Oslo Børs Post Trade Gateway, use the Trade ID (1003) field in the Trade Capture Report (35=AE) message.

Derivative trades in standardised instruments on Oslo Stock Exchange shall be identified as follows:

<Date><Instrument ID (ISIN)><Trade Number> e.g.
 20110316NO012345678900000023

Field	Format	Length	Example
Date	YYMMDD	8	20110316
Instrument ID (ISIN)		12	NO0123456789
Trade Number	Right aligned with leading zeroes	8	00000023

Trade Number corresponds to the field "Trade Number" in SOLA, or "ext_trade_number" in SECUR.

Derivative trades in non-standardised/bespoke instruments on Oslo Stock Exchange shall be identified as follows:

<Instrument ID (ISIN)><Deal Number> f.eks
 NO12345678900000000024

Field	Format	Length	Example
Instrument ID (ISIN)		12	NO1234567890
Deal Number	Right aligned with leading zeroes	10	0000000024

The Deal Number corresponds to the field "Deal number" in Secur.

For other regulated marketplaces and MTFs within EU this field is optional.

Meta Data	Value
Name	Client & Client codetype
Description	If the client is a MiFID investment firm a BIC must be used otherwise use the internal code.
XML element / Tag	<Client CodeType="B">NNNN</Client>
XML format	Client is a complex element. It has a mandatory attribute CodeType followed by the customer identifier. String. minLength 1. maxLength 40.

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Validation	Input is optional, see comments below.
Values	B = BIC. Must be a valid 11 characters ISO 9362 SWIFT/Bank identifier code(BIC). I = Internal.
Comments	Input is mandatory if trading capacity "A" is used. Input is also required if any of the other client information fields are filled in. In Denmark input is mandatory if client information is given with the exception of transactions in bonds and investment association certificates. If Client information is not given, the Client element should be excluded. Contact SWIFT for valid BIC codes. When reporting to the Norwegian FSA, input is mandatory, regardless of trading capacity, when trading on behalf of a client.

No obligation to report the following fields automatically although TRS will have the possibility to receive the following information with every transaction.

Meta Data	Value
Name	Client name
Description	Customer name.
XML element / Tag	<ClientName>
XML format	String. minLength 0. maxLength 70.
Validation	Input is optional.
Values	
Comments	For Denmark input is mandatory when client CodeType is not BIC. When reporting to the Norwegian FSA, input is mandatory, regardless of trading capacity, when trading on behalf of a client.

Meta Data	Value
Name	Client identifier local
Description	Client firm or personal identifier number.
XML element / Tag	<ClientIdentificationLocal>
XML format	String. minLength 0.

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	maxLength 20.
Validation	Input is optional.
Values	
Comments	<p>When reporting to the Norwegian FSA, the field shall primarily be populated with organisation number or personal number (fødselsnummer), secondarily with an internal code.</p> <p>When reporting to the Norwegian FSA, input is mandatory, regardless of trading capacity, when trading on behalf of a client..</p> <p>For Sweden in the case of jointly owned account (e.g. Aktiesparklubb) the personal identifier number should be replaced by JOINTLY_OWNED</p>

Meta Data	Value
Name	Client street
Description	Street.
XML element / Tag	<ClientStreet>
XML format	String. minLength 0. maxLength 70.
Validation	Input is optional.
Values	
Comments	When reporting to the Norwegian FSA, input is mandatory, regardless of trading capacity, when trading on behalf of a client.

Meta Data	Value
Name	Client zip code
Description	ZipCode
XML element / Tag	<ClientZipCode>
XML format	String. minLength 0. maxLength 20.
Validation	Input is optional.
Values	
Comments	When reporting to the Norwegian FSA, input is mandatory, regardless of trading capacity, when trading on behalf of a client.

Meta Data	Value
Name	Client City
Description	Client City

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XML element / Tag	<ClientCity>
XML format	String. minLength 0. maxLength 70.
Validation	Input is optional.
Values	
Comments	When reporting to the Norwegian FSA, input is mandatory, regardless of trading capacity, when trading on behalf of a client.

Meta Data	Value
Name	Client country
Description	Country.
XML element / Tag	<ClientCountry>
XML format	String. minLength 0. maxLength 70.
Validation	Input is optional.
Values	
Comments	When reporting to the Norwegian FSA, input is mandatory, regardless of trading capacity, when trading on behalf of a client.

Meta Data	Value
Name	Proxy holder
Description	The person-/org. number of the power of attorney.
XML element / Tag	<ProxyHolder>
XML format	String. minLength 0. maxLength 11.
Validation	Input is optional.
Values	
Comments	

2.2 Cancellations

Meta Data	Value
Name	Cancellation transaction info type
Description	Use the cancellation transaction type to cancel or delete a previous sent transaction.
XML element / Tag	<CancellationTransaction>
XML format	
Validation	

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TRS

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 2.55

Approved by: 20
 (20)



Values	
Comments	A single transaction, identified by the same Transaction reference number, may only occur once per transaction record type (TransactionRecordInfo or Cancellation Transaction type) within one transaction report file.

Meta Data	Value
Name	Cancelled transaction unique identifier
Description	Univocally identifies the transaction to cancel among the transactions sent by this reporting MiFID investment firm.
XML element / Tag	<CancelledTransactionUniqueIdentifier>
XML format	String. minLength 1. maxLength 40.
Validation	Input is mandatory.
Values	
Comments	The Transaction reference number of the previous sent transaction should be sent.

Meta Data	Value
Name	Cancellation indicator
Description	Indicates the cancellation type.
XML element / Tag	<CancellationIndicator>
XML format	String.
Validation	Input is optional.
Values	C = Cancel the previously submitted transaction.
Comments	This field is also used in the exchange of transaction files between Competent Authorities. More possible values will be added in the future.

3 XML files

The corresponding XML file for Feedback Reports is “TransactionFeedback.xsd” version 3.00