



European Securities and
Markets Authority

ESMA Registers – MiFID webservice

Procedure



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1. INTRODUCTION

1.1. Background

ESMA Registers system is a complete *IT* solution, embedded within the current *ESMA's IT environment* providing end-to-end services to external and internal users and systems.

The system offers *machine-to-machine (A2A)* services, exposing a set of services for retrieval of data maintained in *ESMA Registers* to external systems/clients.

ESMA Registers data is maintained through *Solr* indexes, regularly updated by *ESMA Registers* system.

1.2. Purpose and scope of the document

The current document aims to describe the features of these services for the six *MiFID Registers*. This document was written to allow people to get the most out of *ESMA MiFID Registers* and the *Web Service* developed for this database.

You should have a good understanding of *Web Services* and *XML* in order to fully appreciate this guide.

1.3. Intended audience

The intended audience of this document is the developers and people who will use the *Web Service* on the *ESMA Registers* application.

2. Web Service

2.1. Web Service location

The *Web Service* is available at the following address:

- For production: <http://registers.esma.europa.eu/publication/helpApp>

2.2. Sample Web Service result

```
<response>
```

```
  <lst name="responseHeader">
```

```
    <int name="status">0</int>
```

```
    <int name="QTime">1</int>
```

```
<lst name="params">
    <str name="indent">true</str>
    <str name="q">{{!parent which='type_s:parent'}}</str>
    <str name="wt">xml</str><str name="fq">(mtf_countryCode:XX)</str>
</lst>
</lst>
<result name="response" numFound="1" start="0">
    <doc>
        <str name="mtf_countryCode">XX</str>
        <str name="mtf_modificationDateStr">07/05/2015</str>
        <str name="mtf_relevantAuthority"> </str>
        <str
            name="id">mifid22mtf</str>
            name="mtf_micCode">ADER</str><str
        <str name="mtf_name">TEST 3-01</str>
        <str name="mtf_applicableFromDateStr">07/05/2015</str>
        <str name="mtf_status">Not effective yet</str>
        <int name="_root_">22</int>
        <long name="_version_">1501057052057796612</long>
        <date name="timestamp">2015-05-13T12:19:18.008Z</date>
    </doc>
</result>
</response>
```

2.3. Web Service parameters

The queries are constructed in a format that follows a specific naming convention, as presented below:

http://“serverName:port”/solr/esma_registers_“CoreName”/select?q=(search criteria)

The following explain the attributes used in the queries:

- **q:** the actual query
- **rows:** the number of results to be received in the response
- **wt:** response type (e.g. *xml*)
- **fq:** stands for Filter Query
- **Dates:** replace asterisk with any date in the following format *2010-03-10T22:00:00Z*, unless differently specified for a specific register.
- **Strings:** Strings (for ex: *aif_name*, *sn_entityName* etc) are case sensitive
- **Wildcard:** The user can use * as a wildcard in the criteria

2.4. Version date

To use the version date, the user has to set the *modificationDate* and the *modificationBDate* at the same value. Thus, the result will be the snapshot of the *MiF Share* (or others *MiFID* entries) at this date.

2.5. Central Counterparties (CCP)

The following table provides a detailed description of the fields available in the response of the predefined queries for *Central Counterparties*.

Using the following fields and the *SOLR* syntax, the user may structure advanced queries that can be used at the "Keyword search" field by using the prefix *q=* .

| Field Name | Field Type | Comment |
|-----------------------|--------------|---|
| ccp_relevantAuthority | String | The Competent authority |
| ccp_bicCode | String | The BIC code |
| ccp_name | Text_general | The name of the CCP |
| | | Possible values: |
| ccp_status | Text_general | <ul style="list-style-type: none"> • NEW • Updated • Unchanged |

- Not effective yet

| | | |
|------------------------|--------|---|
| ccp_countryCode | string | The country code (Example: FR, GR etc) |
| ccp_applicableFromDate | Date | The data from which the CCP is applicable |
| ccp_modificationDate | Date | Those two elements are used in order to |
| ccp_modificationBDate | Date | Those two elements are used in order to define the Version date. Both of them have to be set to the same date (the Version date). |

For the predefined query the user has to set the bic_code_value, the country_code_value and date_value (the same date must be set twice) .

2.6. Multilateral Trading Facilities (MTF)

The following table provides a detailed description of the fields available in the response of the predefined queries for Multilateral Trading Facilities.

Using the following fields and the *SOLR* syntax, the user may structure advanced queries that can be used at the "Keyword search" field by using the prefix q= .

| Field Name | Field Type | Comment |
|------------------------|--------------|--|
| mtf_relevantAuthority | String | The Competent authority |
| mtf_bicCode | String | The BIC code |
| mtf_name | Text_general | The name of the MTF |
| | | Possible values: |
| mtf_status | Text_general | <ul style="list-style-type: none"> • NEW • Updated • Unchanged • Not effective yet |
| mtf_countryCode | string | The country code (Example: FR, GR etc) |
| mtf_applicableFromDate | Date | The data from which the MTF is applicable |

| | | |
|-----------------------|------|---|
| mtf_modificationDate | Date | Those two elements are used in order to define the Version date. Both of them have to be set to the same date (the Version date). |
| mtf_modificationBDate | Date | |

For the predefined query the user has to set the mic_code_value, the country_code_value and date_value (the same date must be set twice).

2.7. Regulated Markets (RMA)

The following table provides a detailed description of the fields available in the response of the predefined queries for Regulated Markets.

Using the following fields and the *SOLR* syntax, the user may structure advanced queries that can be used at the "Keyword search" field by using the prefix q= .

| Field Name | Field Type | Comment |
|------------------------|--------------|---|
| rma_relevantAuthority | String | The Competent authority |
| rma_micCode | String | The MIC code |
| rma_name | Text_general | The name of the MTF |
| | | Possible values: |
| rma_status | Text_general | <ul style="list-style-type: none"> • NEW • Updated • Unchanged • Not effective yet |
| rma_countryCode | string | The country code (Example: FR, GR etc) |
| rma_applicableFromDate | Date | The data from which the RMA is applicable |
| rma_modificationDate | Date | Those two elements are used in order to define the Version date. Both of them have to be set to the same date (the Version date). |
| rma_modificationBDate | Date | |

For the predefined query the user has to set the `rma_code_value`, the `country_code_value` and `date_value` (the same date must be set twice).

2.8. Shares admitted to trading on EU Regulated Markets (SHA)

The following table provides a detailed description of the fields available in the response of the predefined queries for Shares admitted to trading on EU Regulated Markets.

Using the following fields and the *SOLR* syntax, the user may structure advanced queries that can be used at the "Keyword search" field by using the prefix `q=`.

| Field Name | Field Type | Comment |
|------------------------------------|--------------|---|
| <code>sha_relevantAuthority</code> | String | The Competent authority |
| <code>sha_isin</code> | String | The ISIN |
| <code>sha_name</code> | Text_general | The name of the share |
| | | Possible values: |
| <code>sha_status</code> | Text_general | <ul style="list-style-type: none"> • NEW • Updated • Unchanged • Not effective yet |
| <code>sha_authorityLiquid</code> | string | The authority responsible for the Liquid share |
| <code>sha_adt</code> | double | ADT of the share |
| <code>sha_dailyTransactions</code> | double | The daily transactions of the shares |
| <code>sha_avt</code> | double | AVT of the share |
| <code>sha_sms</code> | double | SMS of the share |
| <code>sha_countryCode</code> | string | The country code (Example: FR, GR etc) |
| <code>sha_modificationDate</code> | Date | Those two elements are used in order to define the Version date. Both of them have to be set to the same date (the Version date). |

sha_modificationBDate Date

For the predefined query the user has to set the isin_value, the country_code_value and date_value (the same date must be set twice).

2.9. Exempted Shares under Short Selling in Legal Framework

The following table provides a detailed description of the fields available in the response of the predefined queries for Exempted shares under Short Selling Legal Framework.

Using the following fields and the *SOLR* syntax, the user may structure advanced queries that can be used at the "Keyword search" field field by using the prefix q= .

| Field Name | Field Type | Comment |
|------------------------|--------------|---|
| shs_relevantAuthority | String | The Competent authority |
| shs_isin | String | The ISIN |
| shs_name | Text_general | The name of the share |
| | | Possible values: |
| shs_status | Text_general | <ul style="list-style-type: none"> • NEW • Updated • Unchanged • Not effective yet |
| shs_countryCode | string | The country code (Example: FR, GR etc) |
| shs_modificationDate | Date | Those two elements are used in order to define the Version date. Both of them have to be set to the same date (the Version date). |
| shs_modificationBDate | Date | |
| shs_exemptionStartDate | Date | The exemption start date of the share |

For the predefined query the user has to set the isin_value, the country_code_value and date_value (the same date must be set twice).

2.10. Systematic Internalisers

The following table provides a detailed description of the fields available in the response of the predefined queries for Systematic internalisers.p>

Using the following fields and the *SOLR* syntax, the user may structure advanced queries that can be used at the "Keyword search" field field by using the prefix q= .

| Field Name | Field Type | Comment |
|------------------------|--------------|---|
| sys_relevantAuthority | String | The Competent authority |
| shs_bicCode | String | The BIC code |
| sys_name | Text_general | The name of the Systematic Internaliser |
| | | Possible values: |
| sys_status | Text_general | <ul style="list-style-type: none"> • NEW • Updated • Unchanged • Not effective yet |
| sys_countryCode | string | The country code (Example: FR, GR etc) |
| sys_applicableFromDate | Date | The data from which the SYS is applicable |
| sys_modificationDate | Date | Those two elements are used in order to define the Version date. Both of them have to be set to the same date (the Version date). |
| shs_modificationBDate | Date | |

For the predefined query the user has to set the bic_code_value, the country_code_value and date_value (the same date must be set twice).