



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
            name="mtf_name">TEST 3-01</str>
            name="mtf_applicableFromDateStr">07/05/2015</str>
            name="mtf_status">Not effective yet</str>
            name="_root_">22</int>
            name="_version_">1501057052057796612</long>
            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).