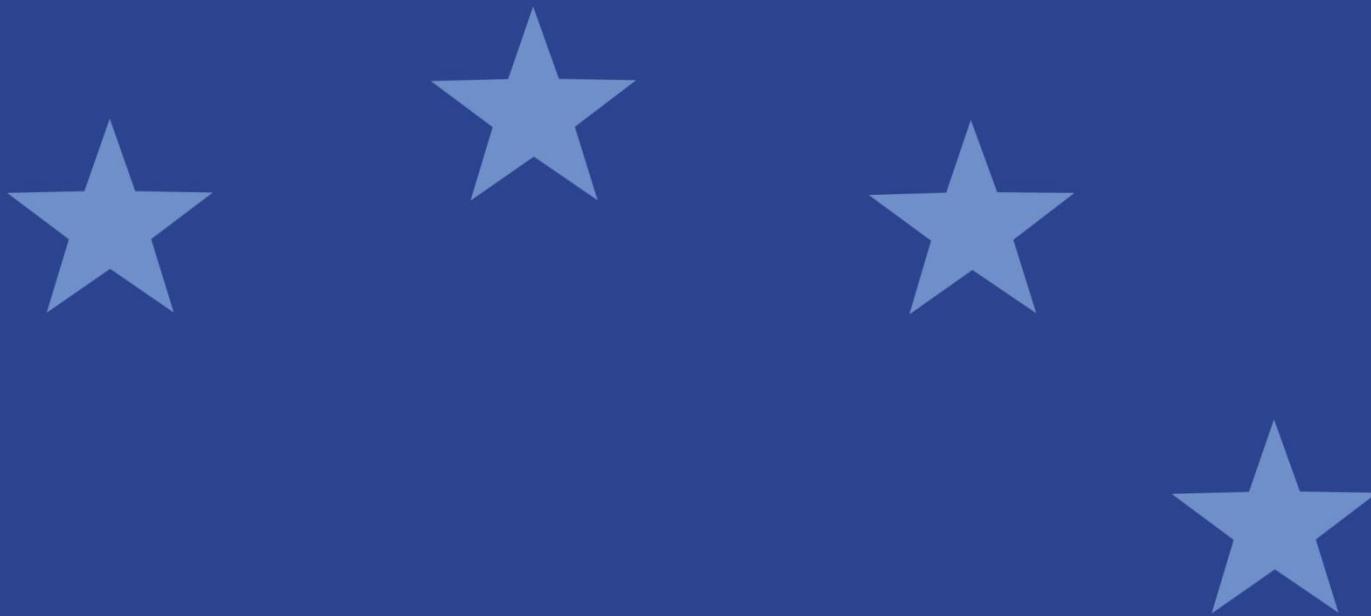


# **FIRDS**

Extranet – User Guide



Author	Version	Date	Updated for
ED	V 0.1	10/11/2016	RCA change Management
ED	V 1.0	01/12/2016	RCA change Management
ED	V 2.0	03/02/2017	RCA Yearly Reassessment & System Administration Pages
ED	V 2.1	03/03/2017	Addressing ESMA's comments
ED	V3.0	24/07/2020	RCA Management  Action on Instruments  System Administration
ED	V4.0	12/02/2020	RCA Management
ED	V5.0	15/03/2022	System Administration
ED	V5.1	27/06/2022	System Administration

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## Referenced documents

	<p>Framework Contract <b>ESMA-2015-02 Lot3</b></p>	
<b>FIRDS1</b>		

## **1. INTRODUCTION**

### **1.1. Brief Description**

FIRDS1 system offers a user-friendly interface, in order to provide NCA users, the ESMA IT Administrator and the ESMA Business Administrator the means to

- Submit, display, accept and reject manual RCA change requests on a set of financial instruments
- Display, bypass, approve and reject reassessment RCA change requests on a set of financial instruments
- Change RCA and RCA-MIC for a set of financial instruments
- Set Termination Date for a set of financial instruments
- Display, add, edit and delete records from internal data tables

### **1.2. Users**

The users have access to the Restricted Area of the FIRDS system, providing their Username (ID – email address) and Password. The system authenticates and authorises them according to their predefined roles set-up by ESMA IT Administrator. Three kind of users are supported, NCA users, the ESMA IT Administrator and the ESMA Business Administrator, having access to different functionalities as described in the sections below.

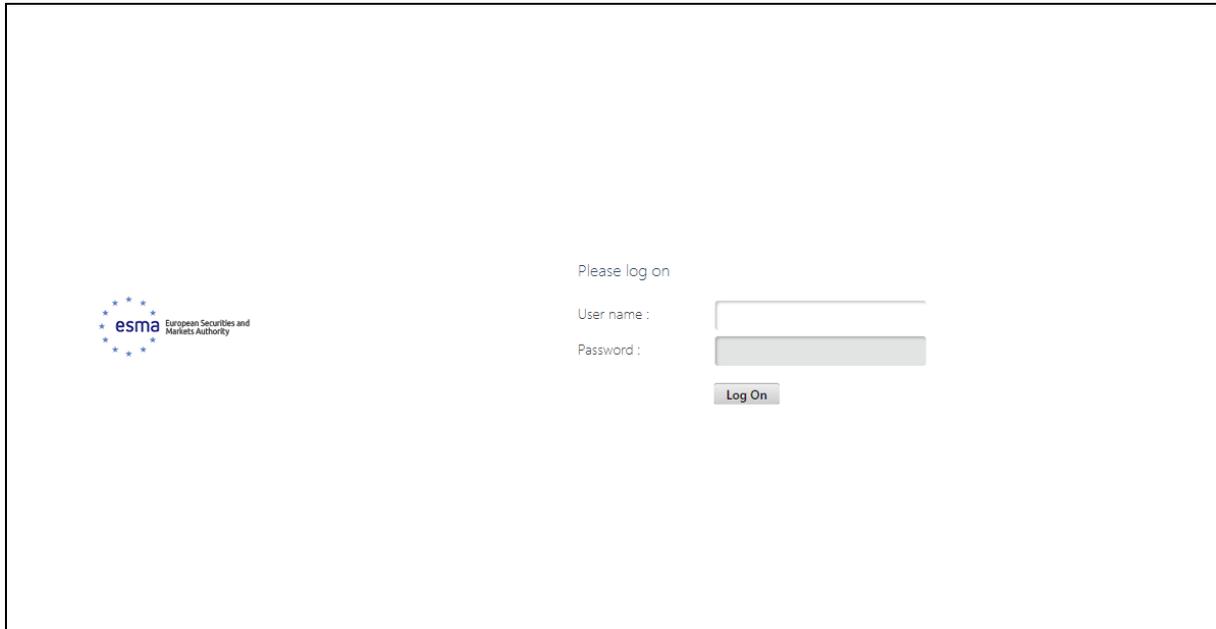
### **1.3. Purpose**

The purpose of the present document is to familiarize FIRDS users with the application's functionalities.

Please note that the screenshots of this manual are indicative since the system is still under development and slight deviations of the interface may be introduced.

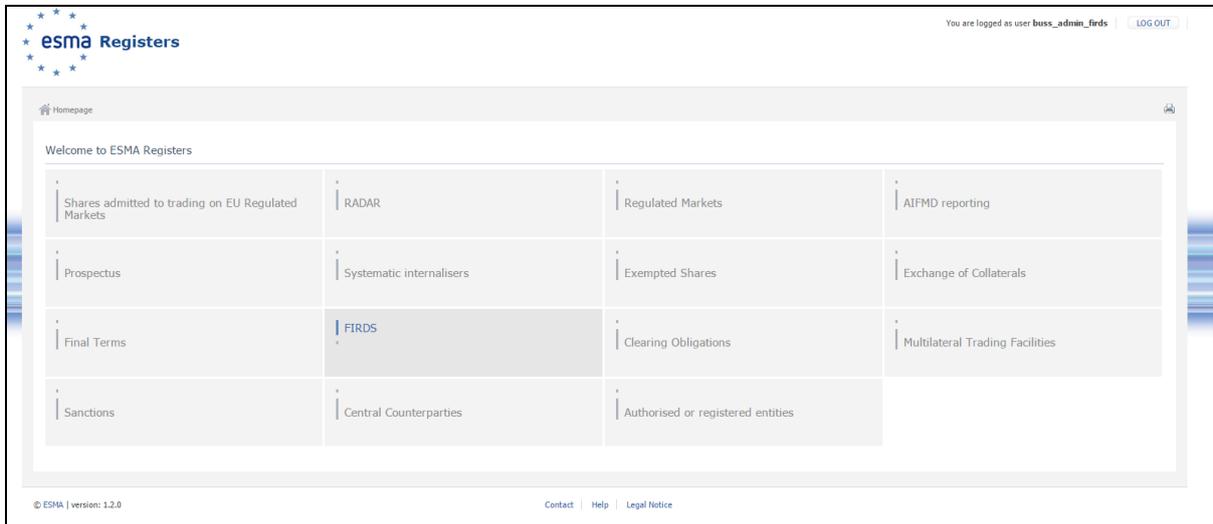
## 2. ACCESS TO FIRDS REGISTER

The NCA user, the ESMA IT Administrator or the ESMA Business Administrator, provides its Username/Password at the log-in screen and clicks the Log-On button.



**Image 1: Log-in**

After logging-in, the user is navigated to the Home Extranet Page. In order to access FIRDS Register, the “FIRDS” button should be clicked.



**Image 2: Click FIRDS at Home Extranet page**

### 3. RCA MANAGEMENT

After accessing the FIRDS Register as described in section 2, the NCA user or ESMA Business Administrator is redirected at the RCA Change Management screen. The user may reach the RCA Change Management screens from any other page of FIRDS by clicking the *RCA Management* button available at the menu bar at the top of the page.

#### 3.1. RCA Change Submission

From the RCA Management menu, the user can access the RCA Change Submission screen.



**Image 3: RCA Change Submission**

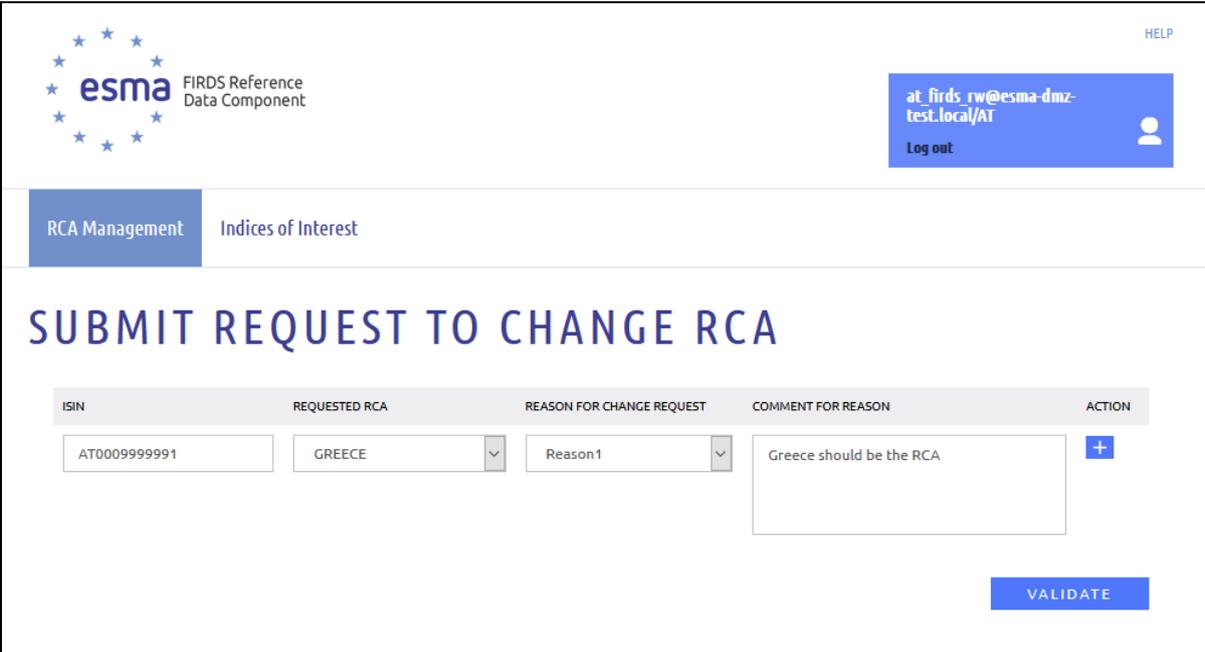
The RCA Change Submission Page offers the possibility to:

- Enter one or more manual Change Requests
- Validate one or more manual Change Request
- Confirm one or more manual Change Requests

##### 3.1.1 *Validate Change Requests*

The user submits a manual Change Request by:

1. Populating the ISIN of an active instrument
2. Selecting one country from the available list as “Requested RCA”. In case of NCA user, if the current RCA is the user’s country, the Requested RCA can have any value. If the NCA user is not the current RCA, the Requested RCA must be the user’s country. In case of ESMA Business Administrator, the Requested RCA can have any value.
3. Selecting one reason from the available list as the reason of the change request.
4. Entering a description or a comment about the reason for the change request (optional field)
5. Clicking the Validate button



esma FIRDS Reference Data Component

at\_firds\_rw@esma-dmz-test.local/AT

Log out

RCA Management Indices of Interest

## SUBMIT REQUEST TO CHANGE RCA

ISIN	REQUESTED RCA	REASON FOR CHANGE REQUEST	COMMENT FOR REASON	ACTION
AT0009999991	GREECE	Reason1	Greece should be the RCA	+

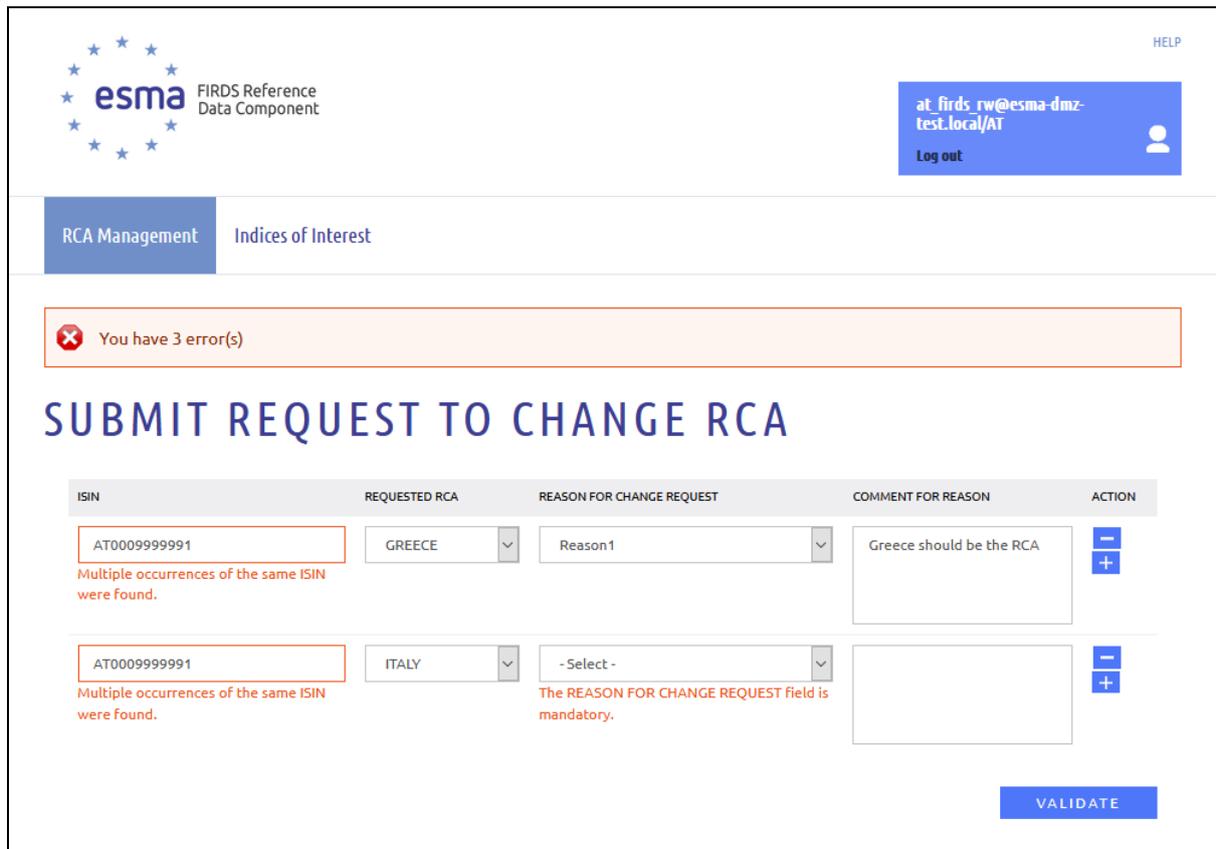
VALIDATE

**Image 4: Submit a manual Change Request**

In order to add another manual Change Request the user clicks the  button. By clicking the  button, the Change Request is removed. In case there is only one Change Request, it is followed only by one  button. If there are more than one, they are followed by both  and  buttons.

If the user clicks “Validate” and any of the scenarios listed below are true, an error message will be displayed:

- One or more of the mandatory fields is empty (i.e. ISIN, Requested RCA, Reason for Change Request)
- An ISIN is entered more than once
- An instrument doesn’t exist in the Consistent Reference Data table or it is terminated
- The NCA corresponding to the user is neither the Upcoming RCA nor the Requested RCA



The screenshot shows the 'FIRDS Reference Data Component' interface. At the top left is the ESMA logo and 'FIRDS Reference Data Component'. At the top right is a user profile for 'at.firds\_rw@esma-dmz-test.local/AT' with a 'Log out' button and a 'HELP' link. Below the navigation bar (RCA Management, Indices of Interest), a red error banner states 'You have 3 error(s)'. The main section is titled 'SUBMIT REQUEST TO CHANGE RCA' and contains a table with the following columns: ISIN, REQUESTED RCA, REASON FOR CHANGE REQUEST, COMMENT FOR REASON, and ACTION.

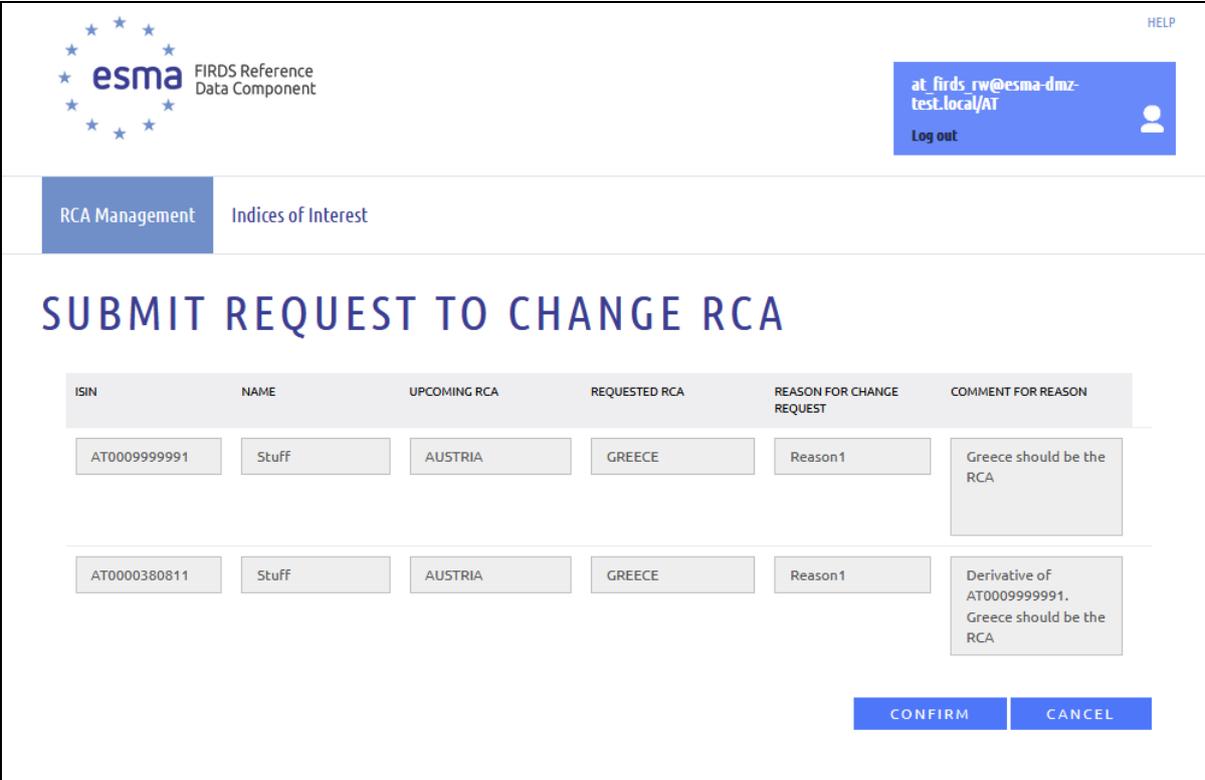
ISIN	REQUESTED RCA	REASON FOR CHANGE REQUEST	COMMENT FOR REASON	ACTION
AT0009999991 <small>Multiple occurrences of the same ISIN were found.</small>	GREECE	Reason1	Greece should be the RCA	- +
AT0009999991 <small>Multiple occurrences of the same ISIN were found.</small>	ITALY	-Select- <small>The REASON FOR CHANGE REQUEST field is mandatory.</small>		- +

VALIDATE

**Image 5: Error Messages**

### 3.1.2 Confirm Manual Change Requests

The user confirms the submission of the manual RCA Change Requests for the instruments entered and for the derivatives of these instruments i.e. for the instruments that have the entered ISIN as single Underlying, by clicking the Confirm button.

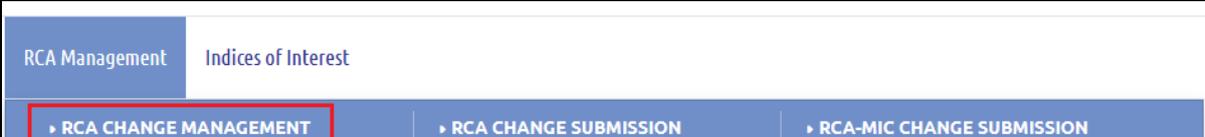


ISIN	NAME	UPCOMING RCA	REQUESTED RCA	REASON FOR CHANGE REQUEST	COMMENT FOR REASON
AT0009999991	Stuff	AUSTRIA	GREECE	Reason1	Greece should be the RCA
AT000380811	Stuff	AUSTRIA	GREECE	Reason1	Derivative of AT0009999991. Greece should be the RCA

**Image 6: Confirm manual Change Requests**

### 3.2. RCA Change Management

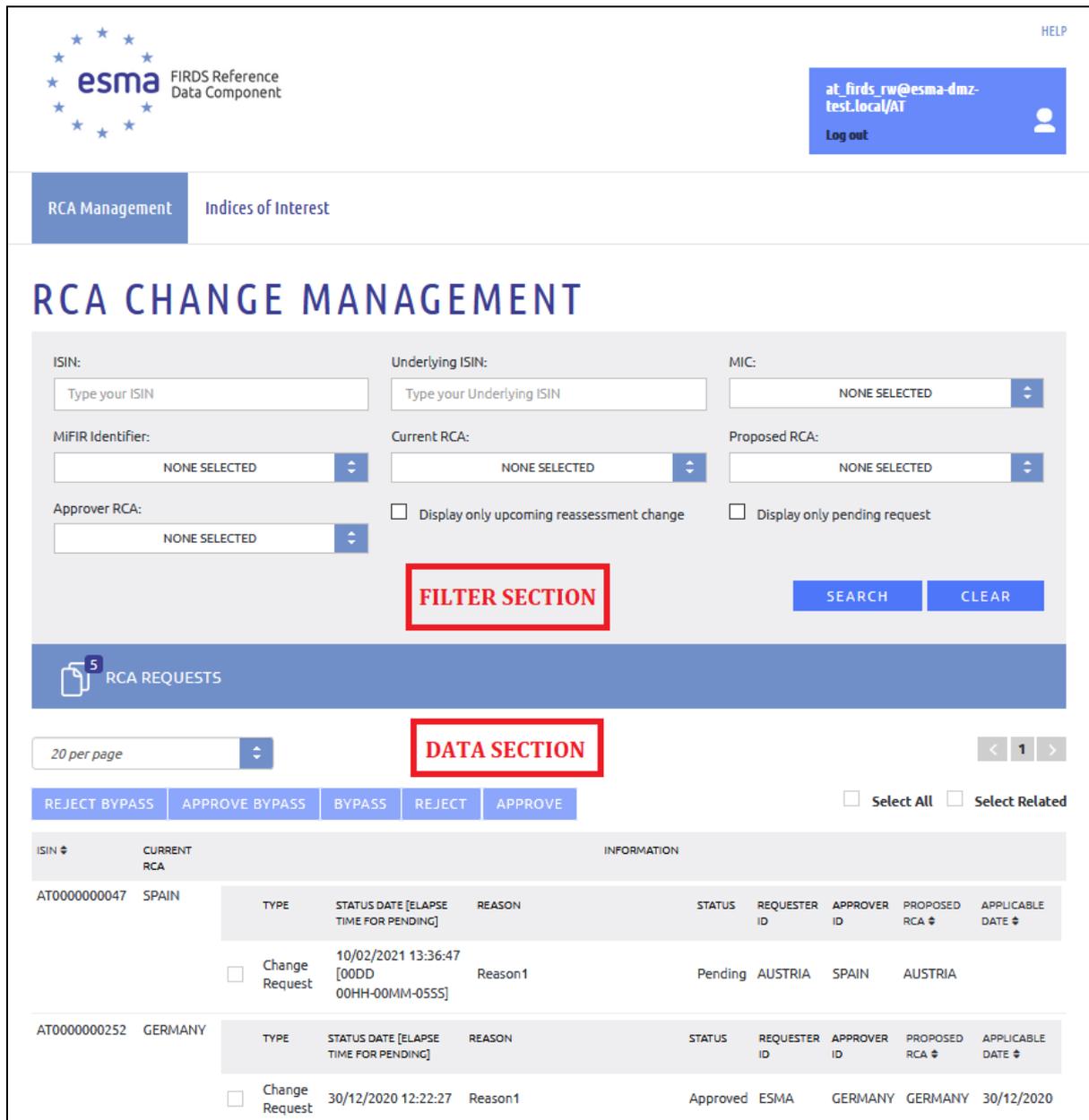
From the RCA Management menu, the user can access the RCA Change Management screen.



**Image 7: RCA Change Management**

The RCA Change Management Page offers the possibility to:

- Search for Change Requests both Manual and Reassessment
- Approve Manual Change Requests
- Reject Manual Change Requests
- Bypass Reassessment Change Requests
- Approve bypassed Reassessment Change Requests
- Reject bypassed Reassessment Change Requests



The screenshot displays the 'RCA CHANGE MANAGEMENT' interface. At the top left is the ESMA logo and 'FIRDS Reference Data Component'. At the top right is a user profile box with the email 'at\_firds\_rw@esma-dmz-test.local/AT' and a 'Log out' button. Below the header are two tabs: 'RCA Management' (active) and 'Indices of Interest'.

The main section is titled 'RCA CHANGE MANAGEMENT' and contains a filter section with the following fields:

- ISIN: Type your ISIN
- Underlying ISIN: Type your Underlying ISIN
- MIC: NONE SELECTED
- MIFIR Identifier: NONE SELECTED
- Current RCA: NONE SELECTED
- Proposed RCA: NONE SELECTED
- Approver RCA: NONE SELECTED
- Display only upcoming reassessment change
- Display only pending request

Buttons for 'SEARCH' and 'CLEAR' are located to the right of the filter section. A red box highlights the 'FILTER SECTION' label.

Below the filter section is a blue bar with a folder icon and '5 RCA REQUESTS'. Below this is a 'DATA SECTION' with a dropdown for '20 per page' and pagination controls showing page '1'. There are buttons for 'REJECT BYPASS', 'APPROVE BYPASS', 'BYPASS', 'REJECT', and 'APPROVE'. There are also checkboxes for 'Select All' and 'Select Related'.

The data table has columns for ISIN, CURRENT RCA, INFORMATION, TYPE, STATUS DATE [ELAPSE TIME FOR PENDING], REASON, STATUS, REQUESTER ID, APPROVER ID, PROPOSED RCA, and APPLICABLE DATE.

ISIN	CURRENT RCA	INFORMATION	TYPE	STATUS DATE [ELAPSE TIME FOR PENDING]	REASON	STATUS	REQUESTER ID	APPROVER ID	PROPOSED RCA	APPLICABLE DATE
AT0000000047	SPAIN		<input type="checkbox"/> Change Request	10/02/2021 13:36:47 [00DD 00HH-00MM-05SS]	Reason1	Pending	AUSTRIA	SPAIN	AUSTRIA	
AT00000000252	GERMANY		<input type="checkbox"/> Change Request	30/12/2020 12:22:27	Reason1	Approved	ESMA	GERMANY	GERMANY	30/12/2020

**Image 8: RCA Change Management Filter and Data sections**

	<p>Framework Contract <b>ESMA-2015-02 Lot3</b></p>	
<b>FIRDS1</b>		

### 3.2.1 *Filter RCA Change Requests*

A filtering section is available, assisting the user to have access to specific change requests, applying the following filtering criteria:

- **ISIN:** The user may filter the system by specifying the Instrument Identification code of the instrument for which a RCA change has been requested.
- **Underlying ISIN:** The user may filter the system by specifying the Underlying ISIN of the instruments for which a RCA change has been requested.
- **MIC:** The user may filter the system by selecting on the available MICs. The returned results will be instruments related to the specific MIC for which a RCA change has been requested.
- **MiFIR Identifier:** The user may filter the system by selecting on the available MiFIR Identifiers.
- **Current RCA:** The user may filter the system by selecting on the available countries. The returned results will be instruments whose Upcoming RCA is the selected country.
- **Proposed RCA:** The user may filter the system by selecting on the available countries. The returned results will be instruments whose Proposed RCA is the selected country.
- **Approver RCA:** The user may filter the system by selecting on the available countries. The returned results will be instruments whose Approver RCA is the selected country.

The specified filtering criteria are applied upon clicking the *Search* button.

Where no filtering criteria is applied, the system displays all records.

The user may check the “Display only pending request” checkbox at the filtering section. In that case, the displayed results will include only Manual Change Requests that are pending and not rejected or approved:



FIRDS Reference Data Component

HELP

at\_firds\_rw@esma-dmz-test.local/AT


Log out

RCA Management

Indices of Interest

## RCA CHANGE MANAGEMENT

ISIN: <input type="text" value="Type your ISIN"/>	Underlying ISIN: <input type="text" value="Type your Underlying ISIN"/>	MIC: <input type="text" value="NONE SELECTED"/>
MIFIR Identifier: <input type="text" value="NONE SELECTED"/>	Current RCA: <input type="text" value="NONE SELECTED"/>	Proposed RCA: <input type="text" value="NONE SELECTED"/>
Approver RCA: <input type="text" value="NONE SELECTED"/>	<input type="checkbox"/> Display only upcoming reassessment change	<input checked="" type="checkbox"/> Display only pending request


2 RCA REQUESTS

20 per page

< 1 >

Select All    Select Related

ISIN	CURRENT RCA	INFORMATION							
		TYPE	STATUS DATE [ELAPSE TIME FOR PENDING]	REASON	STATUS	REQUESTER ID	APPROVER ID	PROPOSED RCA	APPLICABLE DATE
AT0000000047	SPAIN	<input type="checkbox"/> Change Request	10/02/2021 13:36:47 [00DD 00HH-06MM-39SS]	Reason1	Pending	AUSTRIA	SPAIN	AUSTRIA	
AT0000002027	GERMANY	<input type="checkbox"/> Change Request	10/02/2021 13:36:10 [00DD 00HH-07MM-16SS]	Reason1	Pending	AUSTRIA	GERMANY	AUSTRIA	

**Image 9: Show only Pending Manual Change Requests**

The user may check the “Display only upcoming reassessment change” checkbox at the filtering section. In that case, the displayed results will include only Reassessment Change Requests:



FIRDS Reference  
Data Component

HELP

at\_firds\_rw@esma-dmz-  
test.local/AT

Log out

RCA Management
Indices of Interest

## RCA CHANGE MANAGEMENT

ISIN:

Underlying ISIN:

MIC:

NONE SELECTED
⌵

MIFIR Identifier:

NONE SELECTED
⌵

Current RCA:

NONE SELECTED
⌵

Proposed RCA:

NONE SELECTED
⌵

Approver RCA:

NONE SELECTED
⌵

Display only upcoming reassessment change

Display only pending request

SEARCH

CLEAR

1

RCA REQUESTS

20 per page
⌵

< 1 >

REJECT BYPASS

APPROVE BYPASS

BYPASS

REJECT

APPROVE

Select All    Select Related

ISIN	CURRENT RCA	INFORMATION							
AT0009999991	AUSTRIA	TYPE	YEAR	TV/SI	COUNTRY OF JURISDICTION	YEARLY TURNOVER(EURO)	STATUS	PROPOSED RCA	APPLICABLE DATE
				FRAB (BOERSE FRANKFURT - FREIVERKEHR)	GERMANY	303			
				AMTS (MTS NETHERLANDS)	UNITED KINGDOM	302			
		<input type="checkbox"/>	Reassessment 2021	WBGf (WIENER BOERSE AG GEREGLER FREIVERKEHR (SECOND REGULATED MARKET))	AUSTRIA	1		AUSTRIA	01/04/2021
				XPAR (EURONEXT - EURONEXT PARIS)	FRANCE	302			

**Image 10: Show only Reassessment Change Requests**

### 3.2.2 Approve/Reject RCA Manual Change Request

After having conducted the search for Manual Change Requests, as described in section 3.1, the user can accept or reject change requests.

The NCA user or ESMA Business Administrator may specify the Manual Change Requests to be to approved/reject by selecting the available checkboxes.



FIRDS Reference Data Component

at\_firds\_rw@esma-dmz-test.local/AT

Log out 

RCA Management

Indices of Interest

## RCA CHANGE MANAGEMENT

ISIN:

Underlying ISIN:

MIC:

MIFIR Identifier:

Current RCA:

Proposed RCA:

Approver RCA:

Display only upcoming reassessment change

Display only pending request


4 RCA REQUESTS

20 per page

< 1 >

Select All  Select Related

ISIN	CURRENT RCA	INFORMATION							
AT0009999991	AUSTRIA	TYPE	STATUS DATE [ELAPSE TIME FOR PENDING]	REASON	STATUS	REQUESTER ID	APPROVER ID	PROPOSED RCA	APPLICABLE DATE
		<input checked="" type="checkbox"/> Change Request	10/02/2021 13:53:24 [00DD 00HH-00MM-13SS]	Reason1	Pending	IRELAND	AUSTRIA	IRELAND	

**Image 11: Select a Manual Change Request**

The NCA user or ESMA Business Administrator may approve the selected Manual Change Requests by clicking the **APPROVE** button.

The NCA user or ESMA Business Administrator may reject the selected Manual Change Requests by clicking the **REJECT** button.

**Notes:**

1. The NCA user or ESMA Business Administrator is only able to select Change Requests with status “Pending”.
2. The NCA user is only able to select Change Requests where its NCA Country is either the “Requested RCA” or the “Upcoming RCA”. The ESMA Business Administrator user can select all Change Requests associated to all countries.
3. The NCA user or ESMA Business Administrator is able to select the “Select all” checkbox. The system selects all records that can be selected by the current user, as

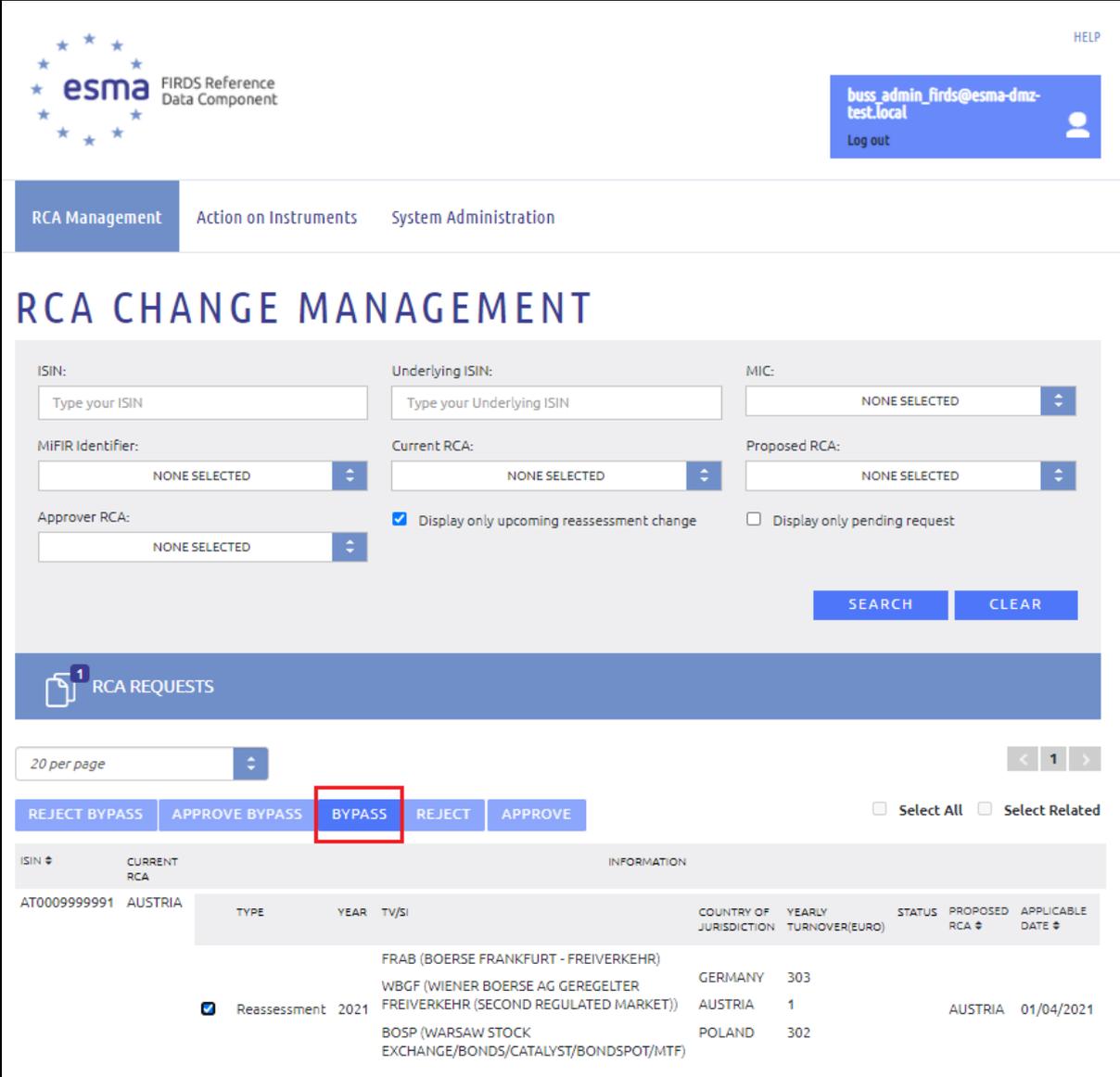
described in Notes 1, 2 above. In case there is no Change Request that can be selected by the current user, the button is inactive.

- The NCA user or ESMA Business Administrator is able to select the “Select related” checkbox, in case at least one Change Request has been manually selected. If the user approves/rejects the selected Change Request, the system approves/rejects all the “related” requests at the same time. In case there is no Change Request selected by the current user, the button is inactive.

### 3.2.3 Bypass RCA Change Request

After having conducted the search for Reassessment Change Requests, as described in section 3.2.1, the user can bypass them.

The NCA user or ESMA Business Administrator may specify the Reassessment Change Requests to be bypassed by selecting the available checkboxes. Only one record can be selected each time.



The screenshot shows the ESMA FIRDS Reference Data Component interface. The top navigation bar includes 'RCA Management', 'Action on Instruments', and 'System Administration'. The main heading is 'RCA CHANGE MANAGEMENT'. Below this, there are search filters for ISIN, Underlying ISIN, MIC, MiFIR Identifier, Current RCA, Proposed RCA, and Approver RCA. There are also checkboxes for 'Display only upcoming reassessment change' (checked) and 'Display only pending request'. A 'SEARCH' button is visible. Below the search filters, there is a section for 'RCA REQUESTS' with a '20 per page' dropdown and a '1' page indicator. A row of action buttons is shown: 'REJECT BYPASS', 'APPROVE BYPASS', 'BYPASS' (highlighted with a red box), 'REJECT', and 'APPROVE'. There are also 'Select All' and 'Select Related' checkboxes. Below the buttons is a table with columns for ISIN, CURRENT RCA, and INFORMATION. The table contains one row with a checked checkbox in the 'INFORMATION' column.

ISIN	CURRENT RCA	INFORMATION																																
AT0009999991	AUSTRIA	<table border="1"> <thead> <tr> <th>TYPE</th> <th>YEAR</th> <th>TV/5I</th> <th>COUNTRY OF JURISDICTION</th> <th>YEARLY TURNOVER(EURO)</th> <th>STATUS</th> <th>PROPOSED RCA</th> <th>APPLICABLE DATE</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td>FRAB (BOERSE FRANKFURT - FREIVERKEHR)</td> <td>GERMANY</td> <td>303</td> <td></td> <td></td> </tr> <tr> <td><input checked="" type="checkbox"/></td> <td>Reassessment</td> <td>2021</td> <td>WBGF (WIENER BOERSE AG GEREGLTER FREIVERKEHR (SECOND REGULATED MARKET))</td> <td>AUSTRIA</td> <td>1</td> <td>AUSTRIA</td> <td>01/04/2021</td> </tr> <tr> <td></td> <td></td> <td></td> <td>BOSP (WARSAW STOCK EXCHANGE/BONDS/CATALYST/BONDSPOT/MTF)</td> <td>POLAND</td> <td>302</td> <td></td> <td></td> </tr> </tbody> </table>	TYPE	YEAR	TV/5I	COUNTRY OF JURISDICTION	YEARLY TURNOVER(EURO)	STATUS	PROPOSED RCA	APPLICABLE DATE				FRAB (BOERSE FRANKFURT - FREIVERKEHR)	GERMANY	303			<input checked="" type="checkbox"/>	Reassessment	2021	WBGF (WIENER BOERSE AG GEREGLTER FREIVERKEHR (SECOND REGULATED MARKET))	AUSTRIA	1	AUSTRIA	01/04/2021				BOSP (WARSAW STOCK EXCHANGE/BONDS/CATALYST/BONDSPOT/MTF)	POLAND	302		
TYPE	YEAR	TV/5I	COUNTRY OF JURISDICTION	YEARLY TURNOVER(EURO)	STATUS	PROPOSED RCA	APPLICABLE DATE																											
			FRAB (BOERSE FRANKFURT - FREIVERKEHR)	GERMANY	303																													
<input checked="" type="checkbox"/>	Reassessment	2021	WBGF (WIENER BOERSE AG GEREGLTER FREIVERKEHR (SECOND REGULATED MARKET))	AUSTRIA	1	AUSTRIA	01/04/2021																											
			BOSP (WARSAW STOCK EXCHANGE/BONDS/CATALYST/BONDSPOT/MTF)	POLAND	302																													

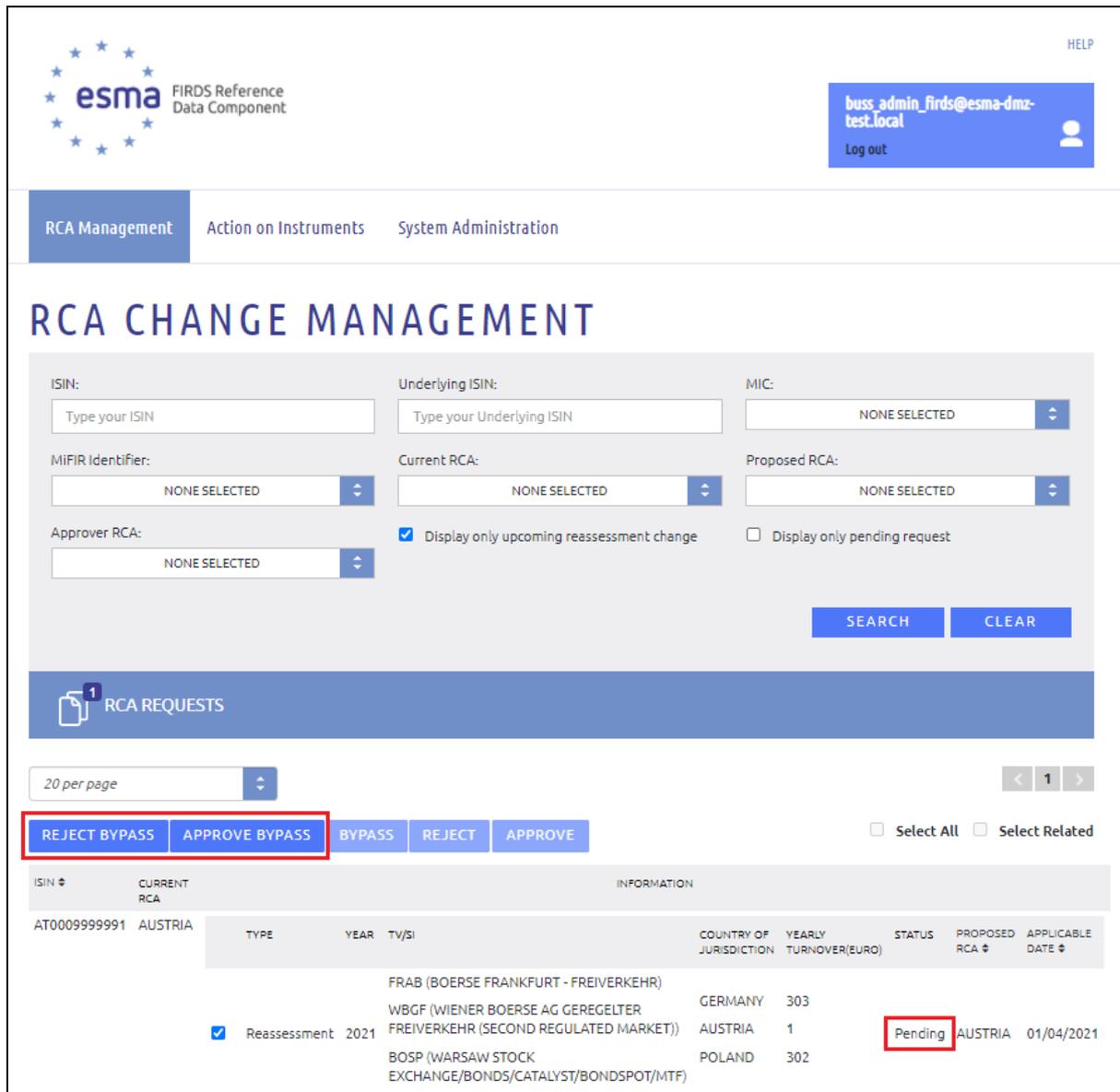
**Image 12: Select a Reassessment Change Request**

The NCA user or ESMA Business Administrator may accept the selected Reassessment Change Request by clicking the **BYPASS** button.

### 3.2.4 Approve/Reject Bypass of a RCA Change Request

After having bypassed a Reassessment Change Request, as described in section 3.2.3, the user can approve or reject it.

The NCA user or ESMA Business Administrator may specify the Reassessment Change Requests to be approved/reject by selecting the available checkbox. Only one record can be selected each time.



The screenshot displays the 'RCA CHANGE MANAGEMENT' interface. At the top, there are navigation tabs: 'RCA Management', 'Action on Instruments', and 'System Administration'. The main area contains search filters and a table of requests.

**Search Filters:**

- ISIN: Type your ISIN
- Underlying ISIN: Type your Underlying ISIN
- MIC: NONE SELECTED
- MIFIR Identifier: NONE SELECTED
- Current RCA: NONE SELECTED
- Proposed RCA: NONE SELECTED
- Approver RCA: NONE SELECTED
- Display only upcoming reassessment change
- Display only pending request

**Buttons:** SEARCH, CLEAR

**Table: RCA REQUESTS**

ISIN	CURRENT RCA	TYPE	YEAR	TV/SI	COUNTRY OF JURISDICTION	YEARLY TURNOVER(EURO)	STATUS	PROPOSED RCA	APPLICABLE DATE
AT0009999991	AUSTRIA	FRAB (BOERSE FRANKFURT - FREIVERKEHR)			GERMANY	303			
		WBGF (WIENER BOERSE AG GEREGLTER FREIVERKEHR (SECOND REGULATED MARKET))			AUSTRIA	1	Pending	AUSTRIA	01/04/2021
		BOSP (WARSAW STOCK EXCHANGE/BONDS/CATALYST/BONDSPOT/MTF)			POLAND	302			

**Image 13: Select a Reassessment Change Request**

	<p style="text-align: center;">Framework Contract <b>ESMA-2015-02 Lot3</b></p> <hr/> <p style="text-align: center;"><b>FIRDS1</b></p>	
--	---	---

The NCA user or ESMA Business Administrator may approve the selected Reassessment Change Requests by clicking the **APPROVE BYPASS** button.

The NCA user or ESMA Business Administrator may reject the selected Reassessment Change Requests by clicking the **REJECT BYPASS** button.

Notes:

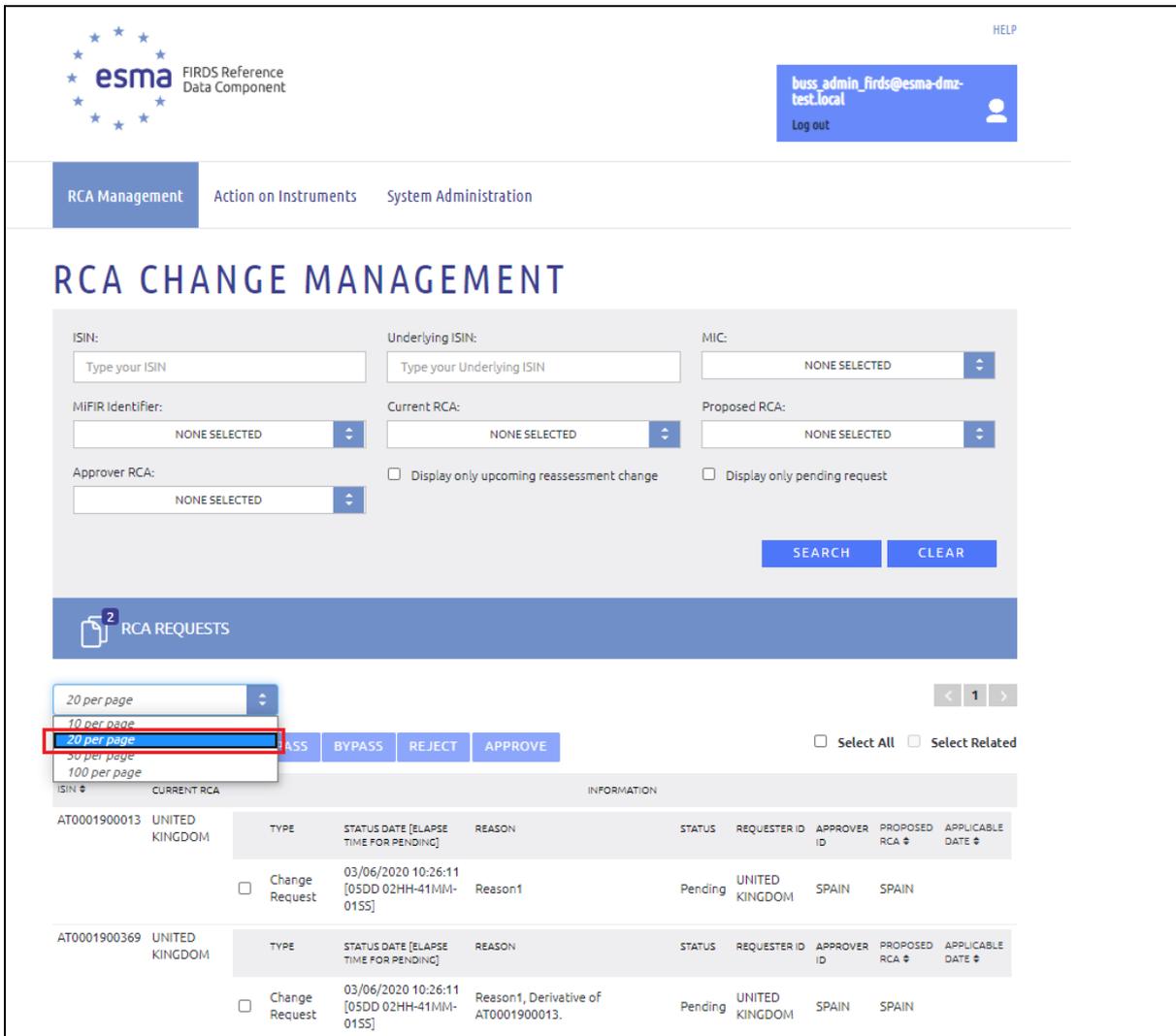
1. The NCA user or ESMA Business Administrator is only able to select Reassessment Change Requests with status “Pending”.
2. The NCA user is only able to approve/reject Reassessment Change Requests where its NCA Country is either the “Reassessed RCA” in case it has been bypassed by the “Upcoming RCA” or the “Upcoming RCA” in case the Reassessment Change Request has been bypassed by the “Reassessed RCA”. The ESMA Business Administrator user can approve/reject all Reassessment Change Requests associated to all countries.

### 3.2.5 *Organizing Filtered Results*

The system enables the user to organize the displayed results.

#### **Results per page**

The default number of results displayed within a page is set to 20. The user may change the number of results displayed per page by selecting one of the additional available values 10, 20, 50 or 100.



**Image 14: Results per page display**

### Paging of results

When the number of results exceeds the number of results possible to be displayed within a single page, the results are organized in pages. The user navigates through the results by using the paging navigation bar.



**Image 15: Paging navigation bar**

### Sorting of results

The displayed results are sorted ascending or descending based on ISIN by clicking on the corresponding column header.

ISIN	CURRENT RCA	INFORMATION							
		TYPE	STATUS DATE [ELAPSE TIME FOR PENDING]	REASON	STATUS	REQUESTER ID	APPROVER ID	PROPOSED RCA	APPLICABLE DATE
AT0000002001	GERMANY	<input type="checkbox"/> Change Request	03/06/2020 10:26:11 [05DD 03HH-29MM-1755]	Reason1	Pending	GERMANY	SPAIN	SPAIN	
AT0000002019	UNITED KINGDOM	<input type="checkbox"/> Change Request	03/06/2020 10:26:11 [05DD 03HH-29MM-1755]	Reason1	Pending	UNITED KINGDOM	SPAIN	GERMANY	
AT0000002027	GERMANY	<input type="checkbox"/> Change Request	03/06/2020 10:26:11 [05DD 03HH-29MM-1755]	Reason1	Pending	UNITED KINGDOM	SPAIN	SPAIN	
AT0000002035	UNITED KINGDOM	<input type="checkbox"/> Change Request	03/06/2020 10:26:11 [05DD 03HH-29MM-1755]	Reason1	Pending	UNITED KINGDOM	SPAIN	SPAIN	
AT0000003330	UNITED KINGDOM	<input type="checkbox"/> Change Request	03/06/2020 10:26:11 [05DD 03HH-29MM-1755]	Reason1	Pending	UNITED KINGDOM	SPAIN	SPAIN	
AT0000003348	GERMANY	<input type="checkbox"/> Change Request	03/06/2020 10:26:11 [05DD 03HH-29MM-1755]	Reason1	Pending	UNITED KINGDOM	SPAIN	SPAIN	
AT0000003355	GERMANY								

**Image 16: Sorting of search results**

### 3.3. RCA Change - Batch

From the RCA Management menu, the ESMA Business Administrator can access the RCA Change - Batch screen.



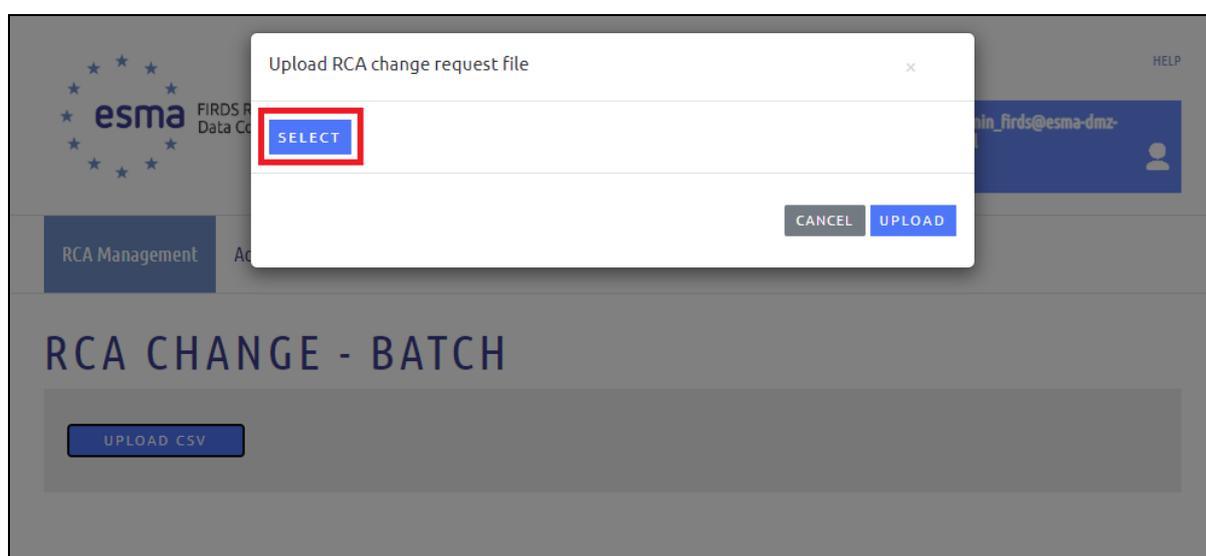
**Image 17: RCA Change Batch**

The RCA Change - Batch page allows the ESMA Business Administrator users to upload a

CSV file that contains a list of instruments, in order to change their RCA, by clicking the **UPLOAD CSV** button.

Upon the click, a pop-up window is displayed that allows the ESMA Business Administrator to:

- Select a file to be uploaded, by clicking the **SELECT** button and browsing the local file system.
- Upload the selected file, by clicking the **UPLOAD** button.
- Cancel the selection, by clicking the **CANCEL** button.



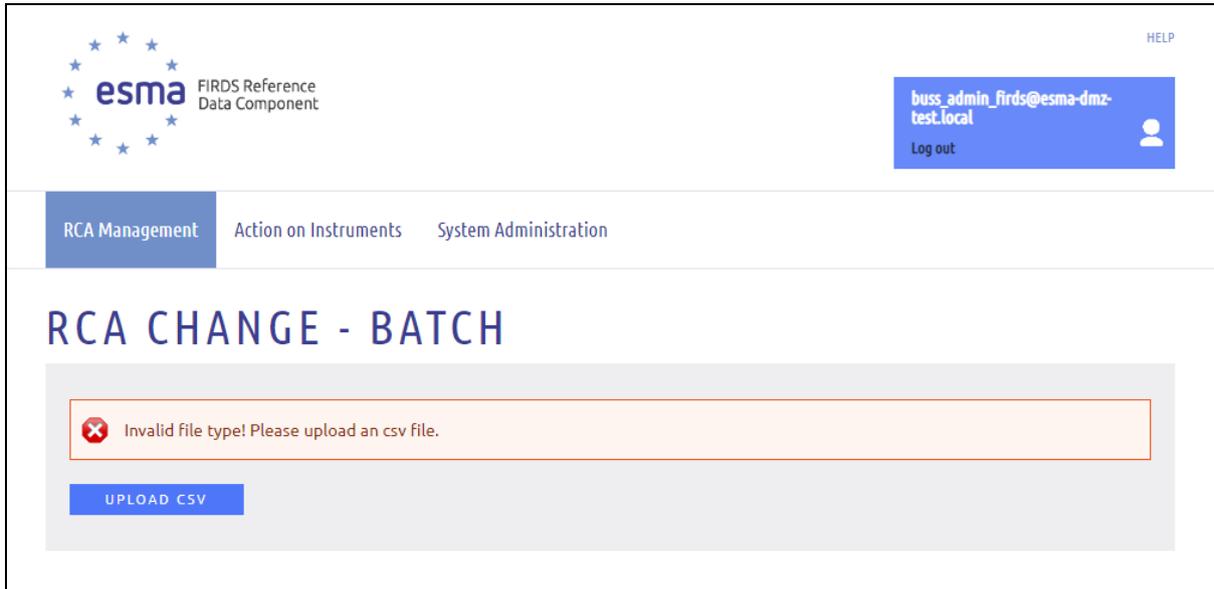
**Image 188: RCA Change Batch page – File Selection**

### File validations

The selected file should be a CSV file containing three columns (i.e. ISIN, Proposed RCA, Reason for Change).

If the user clicks “Upload” and any of the scenarios listed below are true, an error message will be displayed:

- The selected file is not a CSV file
- The selected file is in wrong format (e.g. invalid number of header columns etc.)



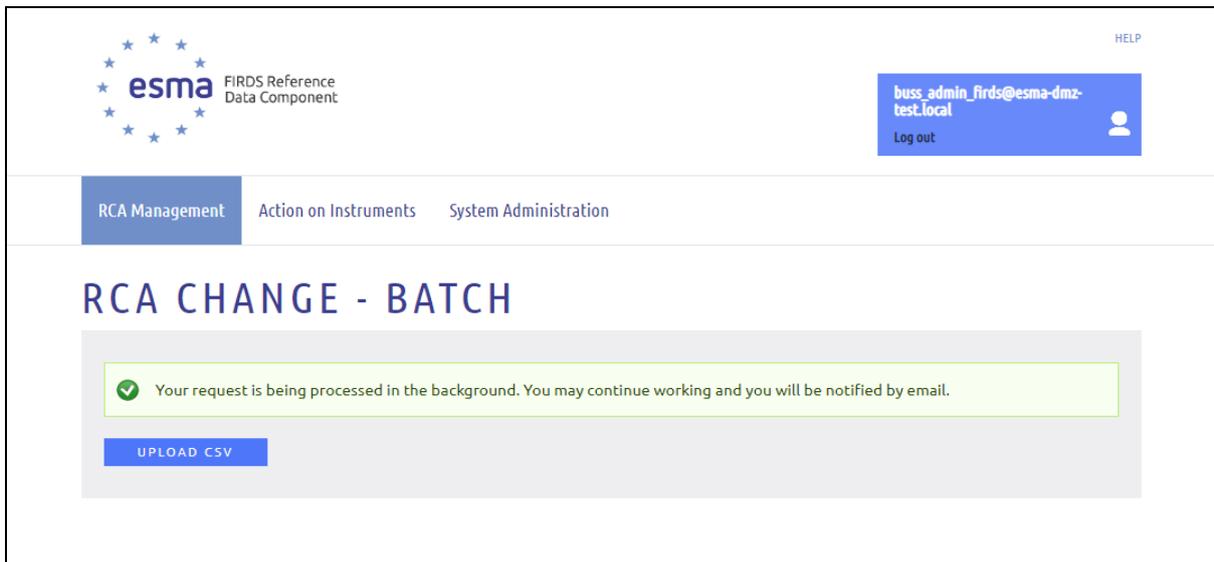
**Image 19: RCA Change Batch page – Invalid file type**

In case the file has passed the above-mentioned validations, the system informs the user that the file is being processed in the background. When the process is completed, an e-mail notification is dispatched notifying the user of the status of the uploaded file.

### Record-level validations

The system considers a submitted record as invalid, in case any of the scenarios listed below are true:

- At least one of the mandatory fields (i.e. ISIN, Proposed RCA) is empty.
- The ISIN does not exist in the system.
- The ISIN is terminated until the current date.



**Image 20: RCA Change Batch Page – Accepted File**



RCA Change Batch  
Template.csv

### 3.4. RCA-MIC Change Management

From the RCA Management menu, the ESMA Business Administrator can access the RCA-MIC Change Management screen.

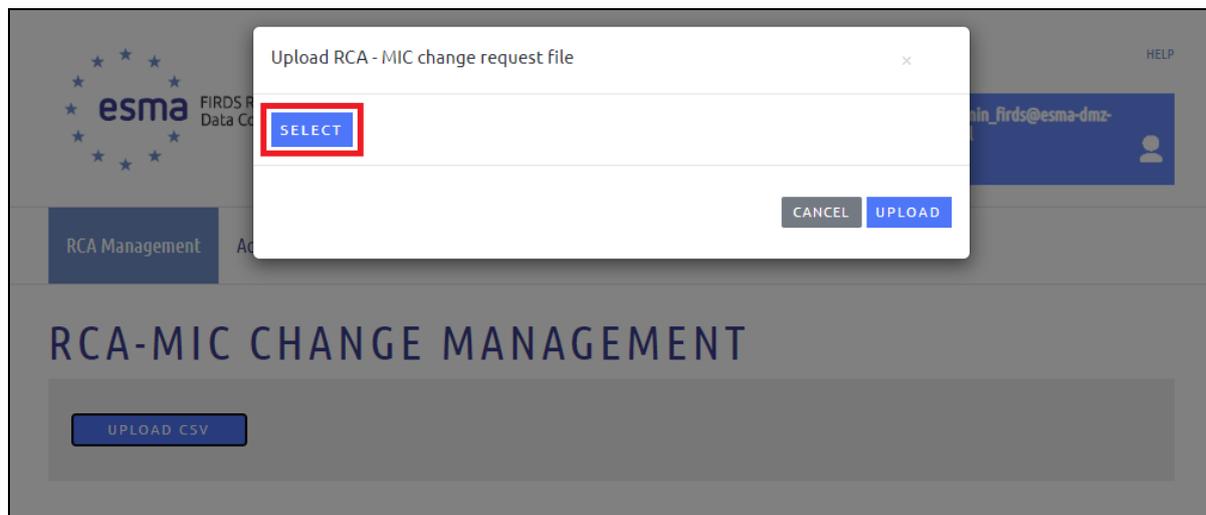


**Image 21: RCA-MIC Change Management**

The RCA-MIC Change Management page allows the ESMA Business Administrator to upload a CSV file that contains a list of instruments, in order to change their RCA-MIC, by clicking the **UPLOAD CSV** button.

Upon the click, a pop-up window is displayed that allows the ESMA Business Administrator to:

- Select a file to be uploaded, by clicking the **SELECT** button and browsing in the local file system.
- Upload the selected file, by clicking the **UPLOAD** button.
- Cancel the selection, by clicking the **CANCEL** button.



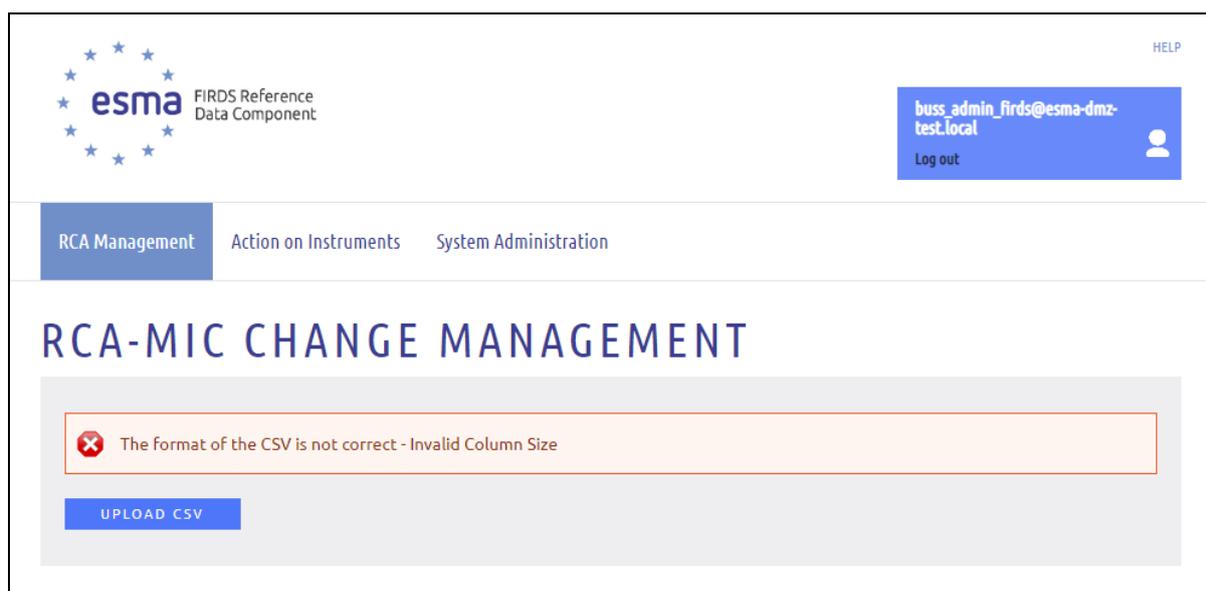
**Image 22: RCA-MIC Change Management Page – File Selection**

### File validations

The selected file should be a CSV file containing five columns (i.e. ISIN, New RCA-MIC, Valid from Date, Valid to Date, Reason for Change).

If the user clicks “Upload” and any of the scenarios listed below are true, an error message will be displayed:

- The selected file is not a CSV file.
- The selected file is in wrong format (e.g. invalid number of header columns).
- The file contains more than 10000 records.



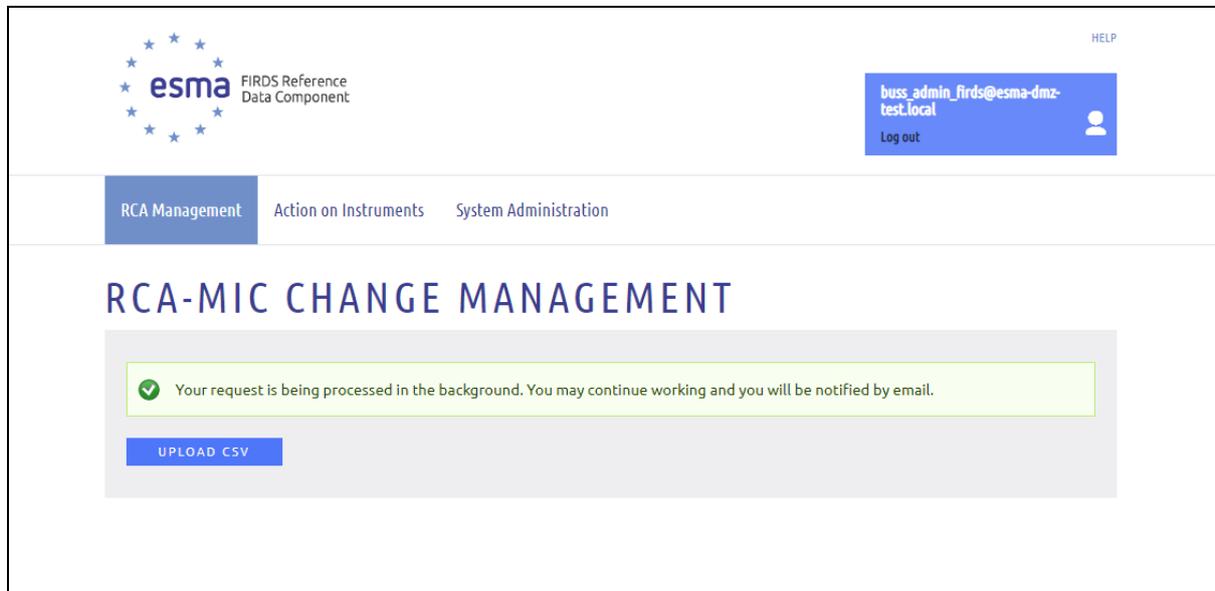
**Image 23: RCA-MIC Change Management Page – Wrong Format**

In case the file has passed the above-mentioned validations, the system informs the user that the file is being processed in the background. When the process is completed, an e-mail notification is dispatched notifying the user of the status of the uploaded file.

### Record-level Validations

The system considers a record as invalid, in case any of the scenarios listed below are true:

- At least one of the mandatory fields (i.e. ISIN, New RCA-MIC, Valid from Date, Reason for Change) is empty.
- The ISIN/MIC combination does not exist in the system.
- The 'Reason for Change' does not exist in the predefined list.
- The date fields (i.e. Valid from Date, Valid to Date) contain invalid dates or dates not in dd/mm/yyyy format (e.g. 31/13/2020 is invalid).
- The 'Valid from Date' is strictly greater than 'Valid to Date'.



**Image 24: RCA-MIC Change Management Page – Accepted File**



RCA-MIC Change  
Management Templ

### 3.5. RCA-MIC Change Submission

From the RCA Management menu, the NCA user can access the RCA-MIC Change Submission screen.

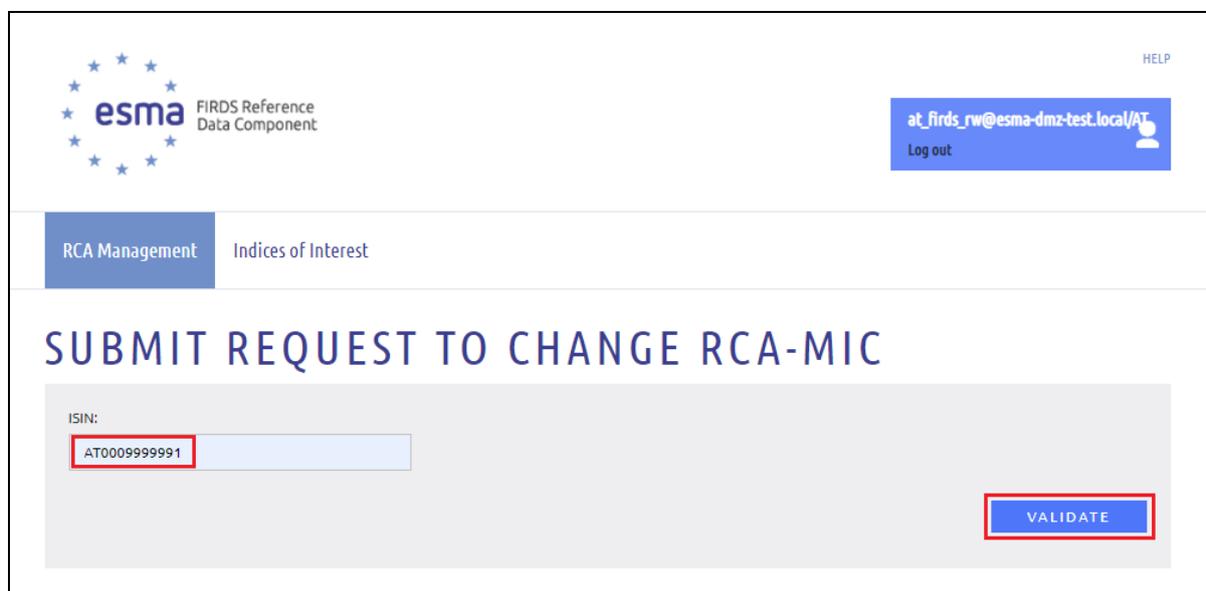


**Image 25: RCA-MIC Change Submission**

The RCA-MIC Change Submission Page offers the NCA user the possibility to set the RCA-MIC of an active instrument to a MIC under their jurisdiction.

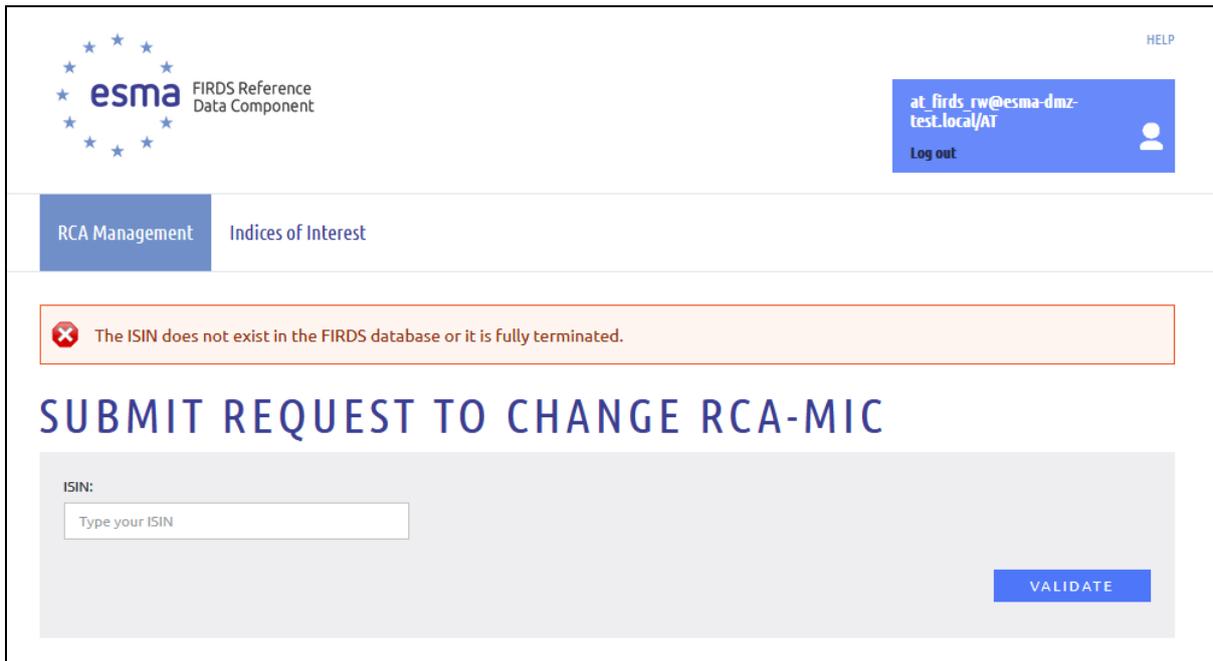
The user changes the RCA-MIC by:

1. Populating the ISIN field with an active instrument
2. Clicking the **VALIDATE** button.
3. Selecting one MIC from the available ones as the new RCA-MIC.
4. Selecting one reason from the available list as the reason for change.
5. Clicking the **SUBMIT** button



**Image 26: RCA-MIC Change Submission Search**

In case the entered ISIN does not exist in FIRDS database or it is fully terminated, an error message will be displayed:



**Image 27: RCA-MIC Change Submission Search**

Otherwise, in case the entered instrument exists, and it is not fully terminated, the system displays the full list of markets which is traded by.

In case the logged-in user's country is different from the RCA of the instrument, the user is not allowed to submit an RCA-MIC Change (i.e., no MIC is available for selection).



FIRDS Reference  
Data Component

HELP

pl.firds.rw@esma-dmz-test.local/PL



RCA Management

Indices of Interest

## SUBMIT REQUEST TO CHANGE RCA-MIC

ISIN:

AT0009999991

VALIDATE


6

SUBMIT

CLEAR

	ISIN	MIC	RCA (COUNTRY CODE)	MARKET TYPE OF MIC	REASON FOR CHANGE
<input type="radio"/>	AT0009999991	WBGF	AT	RMKT	- Select -
<input type="radio"/>	AT0009999991	FRAB	AT	MLTF	- Select -
<input type="radio"/>	AT0009999991	WBDM	AT	MLTF	- Select -
<input type="radio"/>	AT0009999991	OTFA	AT	OTF5	- Select -
<input type="radio"/>	AT0009999991	SITA	AT	SINT	- Select -
<input type="radio"/>	AT0009999991	BOSP	AT	MLTF	- Select -

**Image 28: Logged-in user's country is not the RCA of the instrument**

Otherwise, in case the logged-in user's country is the RCA of the instrument, the records which satisfy all the following conditions listed below, are available for selection:

- The MIC is under the logged-in user's country jurisdiction
- The MIC is not of SINT market type



FIRDS Reference  
Data Component

HELP

at\_firds\_rw@esma-dmz-test.local/AT

Log out 

RCA Management

Indices of Interest

## SUBMIT REQUEST TO CHANGE RCA-MIC

ISIN:

AT0009999991

VALIDATE


6

SUBMIT

CLEAR

	ISIN	MIC	RCA (COUNTRY CODE)	MARKET TYPE OF MIC	REASON FOR CHANGE
<input type="radio"/>	AT0009999991	WBGF	AT	RMKT	- Select - 
<input type="radio"/>	AT0009999991	BOSP	AT	MLTF	- Select - 
<input type="radio"/>	AT0009999991	FRAB	AT	MLTF	- Select - 
<input type="radio"/>	AT0009999991	SITA	AT	SINT	- Select - 
<input type="radio"/>	AT0009999991	WBDM	AT	MLTF	- Select - 
<input type="radio"/>	AT0009999991	OTFA	AT	OTFS	- Select - 

**Image 29: No record has been selected by the user**

In case either a record or a reason for change has not been selected by the user, the SUBMIT button is inactive.


FIRDS Reference Data Component
HELP

at\_firds\_rw@esma-dmz-test.local/AT  
Log out

RCA Management
Indices of Interest

## SUBMIT REQUEST TO CHANGE RCA-MIC

ISIN:

VALIDATE

6

SUBMIT
CLEAR

	ISIN	MIC	RCA (COUNTRY CODE)	MARKET TYPE OF MIC	REASON FOR CHANGE
<input type="radio"/>	AT0009999991	WBGF	AT	RMKT	- Select -
<input type="radio"/>	AT0009999991	BOSP	AT	MLTF	- Select -
<input type="radio"/>	AT0009999991	FRAB	AT	MLTF	- Select -
<input type="radio"/>	AT0009999991	SITA	AT	SINT	- Select -
<input checked="" type="radio"/>	AT0009999991	WBDM	AT	MLTF	Reason 1
<input type="radio"/>	AT0009999991	OTFA	AT	OTFS	- Select -

**Image 30: Submit an RCA-MIC Change**

After clicking the SUBMIT button, the user is informed with a relevant message.


FIRDS Reference Data Component
HELP

at\_firds\_rw@esma-dmz-test.local/AT  
Log out

RCA Management
Indices of Interest

✓ Change request successfully submitted

## SUBMIT REQUEST TO CHANGE RCA-MIC

ISIN:

VALIDATE

**Image 31: RCA-MIC Change has been submitted successfully**

## 4. ACTION ON INSTRUMENTS

### 4.1. Update Termination Date

From the Actions on Instruments menu, the ESMA Business Administrator can access the Update Termination Date screen.

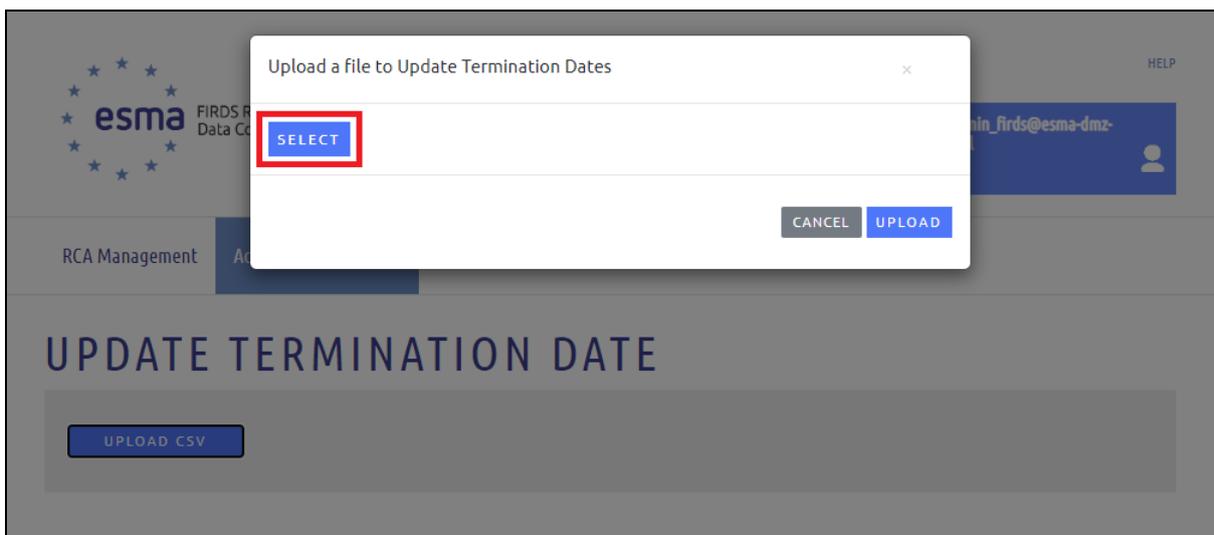


**Image 32: Update Termination Dates**

The Update Termination Dates page allows the ESMA Business Administrator to upload a CSV file that contains a list of instruments, in order to change their Termination Date, by clicking the **UPLOAD CSV** button.

Upon the click, a pop-up window is displayed that allows the ESMA Business Administrator to:

- Select a file to be uploaded, by clicking the **SELECT** button and browsing in the local file system.
- Upload the selected file, by clicking the **UPLOAD** button.
- Cancel the selection, by clicking the **CANCEL** button.



**Image 33: Update Termination Date Page – File Selection**

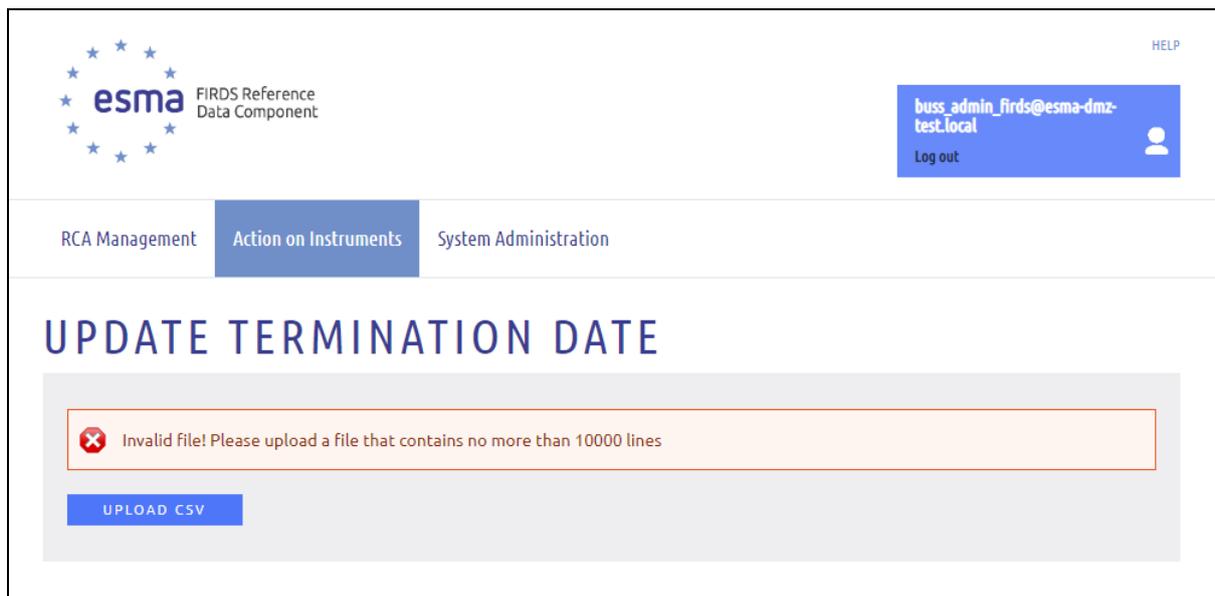
	<p>Framework Contract <b>ESMA-2015-02 Lot3</b></p>	
<p><b>FIRDS1</b></p>		

### File validations

The selected file should be a CSV file containing three columns (i.e. ISIN, MIC, Termination Date).

If the user clicks “Upload” and any of the scenarios listed below are true, an error message will be displayed:

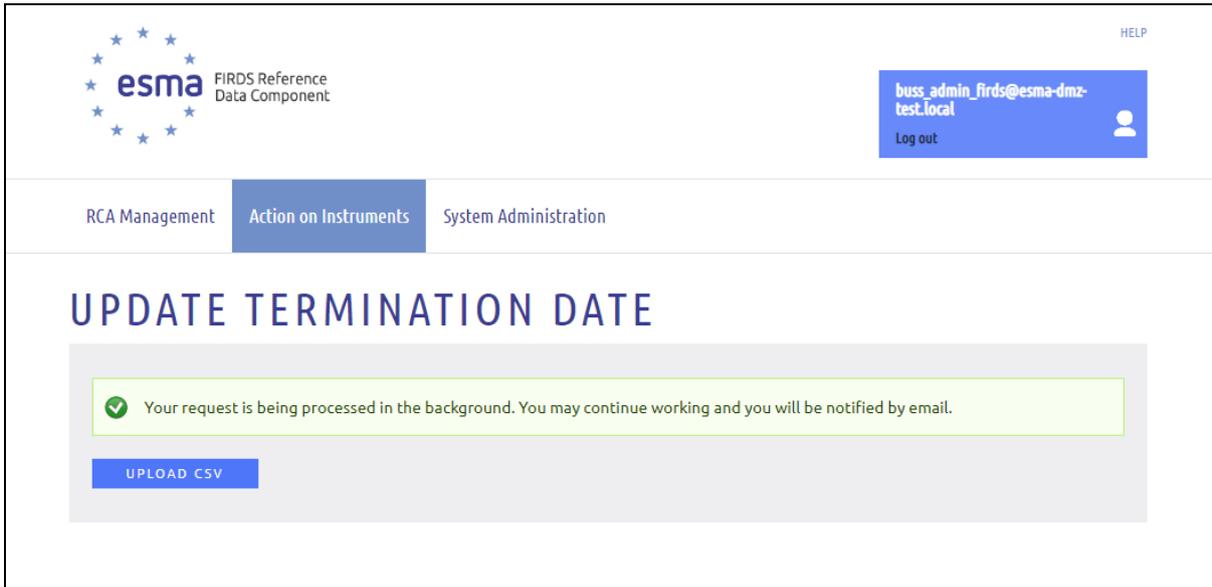
- The selected file is not a CSV file.
- The selected file is in wrong format (i.e. invalid number of header columns ns).
- The file contains more than 10000 records.



**Image 34: Update Termination Date Page – File with more than 10k records**

In case the file has passed the above-mentioned validations, the system informs the user that the file is being processed. When the process is completed, an e-mail notification is sent to the respective email address that informs the user if any invalid records had been submitted. The system considers a record as invalid, in case any of the scenarios listed below are true:

- At least one of the mandatory fields (i.e., ISIN, MIC) is empty.
- The ISIN/MIC combination does not exist in the system.
- The Termination Date is not a valid date or not in dd/mm/yyyy format (e.g., 31/13/2020 is invalid).



**Image 35: Update Termination Date Page – Accepted File**



## 5. SYSTEM ADMINISTRATION

After accessing the FIRDS Register, as described in section 2, the ESMA IT Administrator or the ESMA Business Administrator reaches the System Administration screens by clicking the *System Administration* button available at the menu bar at the top of the page.

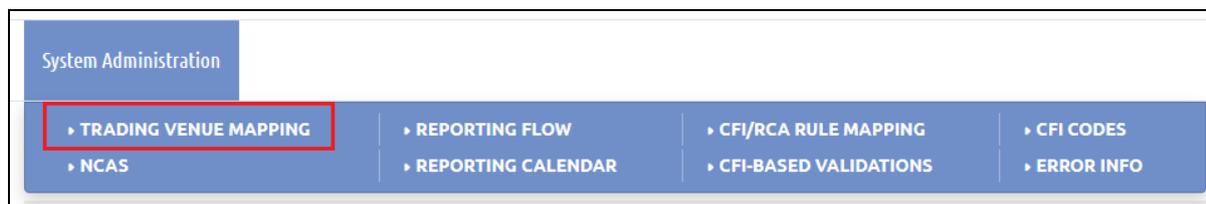
From the System Administration menu, the user can access the following screens corresponding to the internal data tables:

- Trading Venue Mapping
- Reporting Flow
- CFI/RCA Rule Mapping
- CFI Codes
- NCAS
- Reporting Calendar
- CFI-Based Validations
- Authorised Entities
- Error Info (this page is only accessible by the ESMA IT Administrator)

The above screens (except for “Authorised Entities”) offer the possibility to:

- Search for records
- Add new record
- Edit existing record
- Delete existing record

The user can access the desired screen through the relevant button, available at the menu bar at the top of the page.



**Image 36: Access Trading Venue Mapping**

### 5.1. Filter Internal Data Tables

A filtering section is available, assisting the user to have access to specific records.

For Trading Venue Mapping the following filtering criteria apply:

	<p style="text-align: center;">Framework Contract <b>ESMA-2015-02 Lot3</b></p>	
<b>FIRDS1</b>		

- MIC
- Operating MIC
- NCA Country
- Validity Start Date
- Validity End Date

For Reporting Flow the following filtering criteria apply:

- MIC
- Reporting Entity
- Submitting Entity
- Hub Code
- Cut-off Time

For CFI/RCA Rule Mapping the following filtering criteria apply:

- CFI Construct
- RTS22

For CFI Codes the following filtering criteria apply:

- CFI Code
- CFI/RCA Rule Mapping
- CFI-Based Validation

For NCAs there are no filtering criteria since all the records of the associated database table are by default being displayed.

For Reporting Calendar the following filtering criteria apply:

- Entity Identifier
- Open Flag
- Date

For CFI-Based Validations the following filtering criteria apply:

- CFI-Based Validations
- RTS23 Field Number
- Cardinality

For Error Info there are no filtering criteria since all the records of the associated database table are, by default, being displayed.

The specified filtering criteria are applied upon clicking the *Search* button.

Where no filtering criteria is applied, the system displays all records.



FIRDS Reference Data Component

[HELP](#)  
esmaadmin@esma-dmz-test.local  
Log out

System Administration

## TRADING VENUE MAPPING

MIC

Operating MIC

NCA Country

Validity Start Date  
 From  To

Validity End Date  
 From  To

ADD
SEARCH
CLEAR

278
TRADING VENUE MAPPING RECORDS

20 per page
DELETE

 < 1 2 3 4 5 6 7 8 > >>

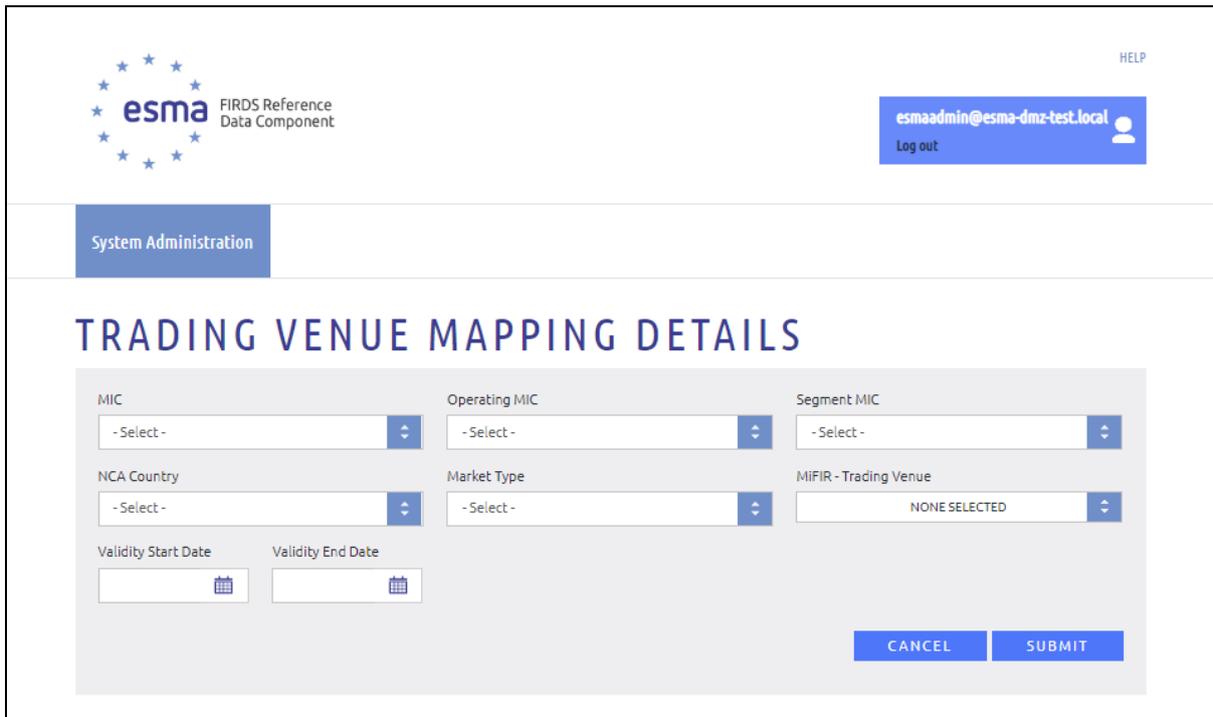
MIC	NCA COUNTRY	OPERATING MIC	SEGMENT MIC	MARKET TYPE	MIFIR - TRADING VENUE	VALIDITY START DATE	VALIDITY END DATE	ACTION
<input type="checkbox"/>	WBAH	AUSTRIA	XWBO	WBAH	Register of RM	XWBO	03/05/2016	<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>
<input type="checkbox"/>	WBDM	AUSTRIA	XWBO	WBDM	Register of MTF	XWBO	03/05/2016	<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>
<input type="checkbox"/>	WBGF	AUSTRIA	XWBO	WBGF	Register of RM	XWBO	03/05/2016	<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>
<input type="checkbox"/>	OTFA	AUSTRIA	OTFA	OTFA	Register of OTF	OTFA	03/05/2016	<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>
<input type="checkbox"/>	SITA	AUSTRIA	SITA	SITA	Register of SI	SITA	03/05/2016	<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>
<input type="checkbox"/>	ALXB	BELGIUM	XBRU	ALXB	Register of MTF	XBRU	03/05/2016	<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>

**Image 37: Search for Trading Venue Mapping records**

## 5.2. Add new record in Internal Data Tables

The ESMA IT Administrator or ESMA Business Administrator may add new records in all screens apart from the Error Info screen by clicking the ADD button.

The associated fields will be displayed in order for the user to key in the necessary values.

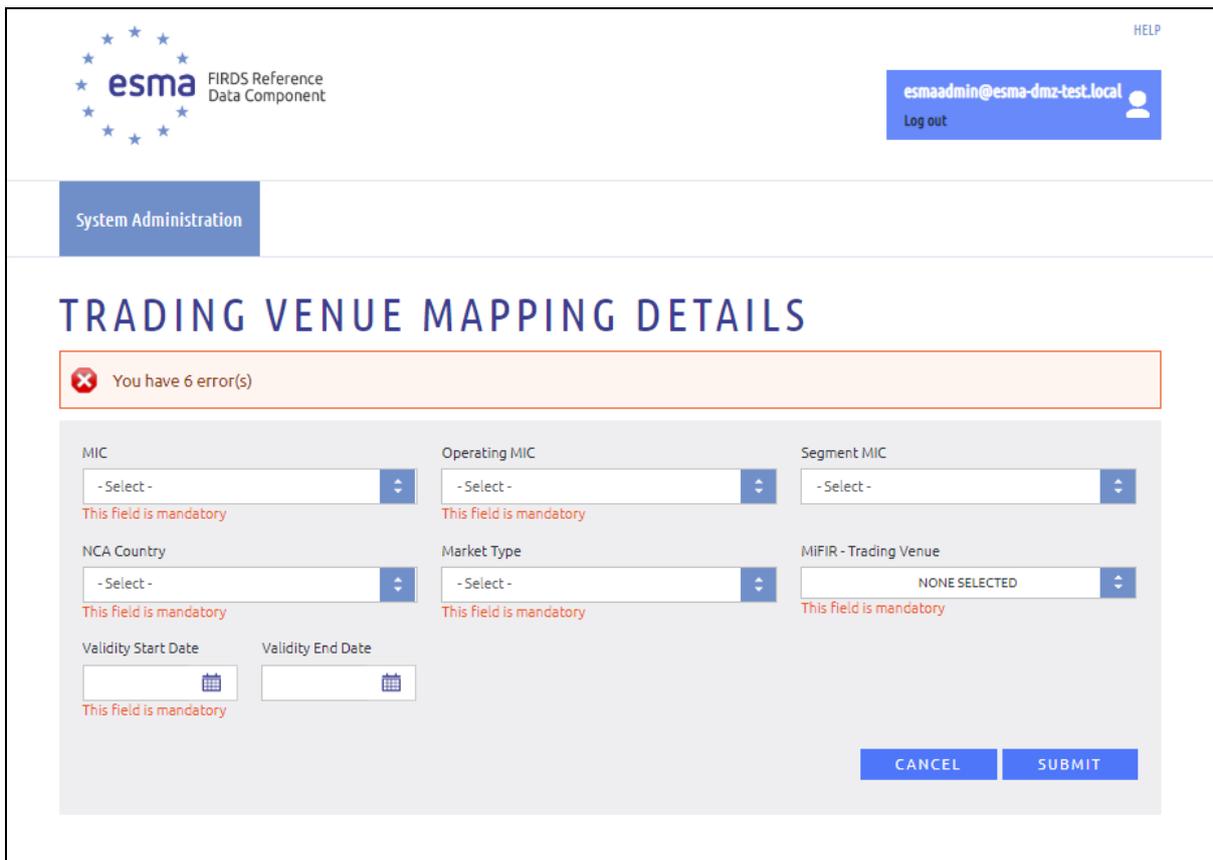


**Image 38: Add new record in Trading Venue Mapping screen**

In order to save the inserted data the user clicks the **SUBMIT** button.

In order to discard the changes the user clicks the **CANCEL** button.

In case not all mandatory fields are inserted, an indicative error message will be displayed.



**Image 39: Mandatory field errors in Trading Venue Mapping screen**

In order to protect the system from inconsistent data, an error message will be displayed in case the “key field” of each table exists as well. “Key fields” are different per page and are described below:

For Trading Venue Mapping, there will be no restriction.

For Reporting Flow, there will be no restriction.

For CFI/RCA Rule Mapping, the **CFI Construct** field should be unique and a record with the same CFI Construct will not be accepted by the system.

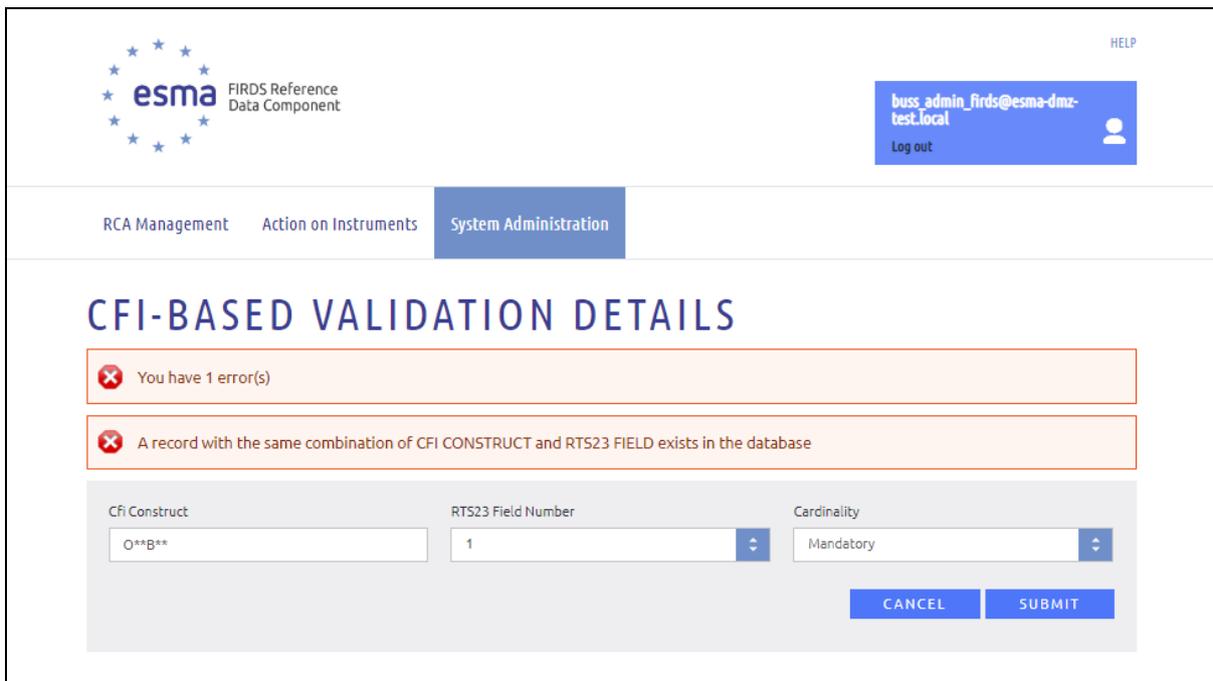
For CFI Codes only valid CFI Code will be added and there is no restriction.

For NCAs, the **Country** field should be unique and a record with the same Country will not be accepted by the system.

For Reporting Calendar there will be no restriction.

For CFI-Based Validations, the **CFI Construct and RTS23 Field Number combination** should be unique and a record with the same combination will not be accepted by the system.

For Error Info, the **Internal Code** field should be unique and a record with the same CFI Construct will not be accepted by the system.



**Image 40: Same record error in CFI-Based Validation screen**

### 5.3. Edit existing record in Internal Data Tables

After having conducted the search, as described in section 4.1, the ESMA IT Administrator or the ESMA Business Administrator may edit existing records in all screens.

The user may specify the record to be edited by clicking the respective **EDIT** button.



FIRDS Reference  
Data Component

[HELP](#)

buss\_admin\_firds@esma-dmz-  
test.local  
Log out 

RCA Management

Action on Instruments

System Administration

## TRADING VENUE MAPPING

MIC

Operating MIC

NCA Country

Validity Start Date  
 From  To

Validity End Date  
 From  To

ADD
SEARCH
CLEAR


280
TRADING VENUE MAPPING RECORDS

20 per page

DELETE

<
1
2
3
4
5
6
7
8
>
>>

	MIC	NCA COUNTRY	OPERATING MIC	SEGMENT MIC	MARKET TYPE	MIFIR - TRADING VENUE	VALIDITY START DATE	VALIDITY END DATE	ACTION
<input type="checkbox"/>	WBAH	AUSTRIA	XWBO	WBAH	Register of RM	XWBO	03/05/2016		<span style="background-color: #4a7ebb; color: white; padding: 2px 5px; border: 2px solid red;">EDIT</span>
<input type="checkbox"/>	WBDM	AUSTRIA	XWBO	WBDM	Register of MTF	XWBO	03/05/2016		<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>
<input type="checkbox"/>	WBGF	AUSTRIA	XWBO	WBGF	Register of RM	XWBO	03/05/2016		<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>

**Image 41: Click Edit in Trading Venue Mapping screen**

The associated fields will be displayed in order for the user to modify the necessary values.

In order to protect the system from inconsistent data, the “key field” of each table will not be editable. “Key fields” are different per page and are described below:

For Trading Venue Mapping, the **MIC** field is not editable.

For Reporting Flow, the **MIC** field is not editable.

For CFI/RCA Rule Mapping, the **CFI Construct** field is not editable.

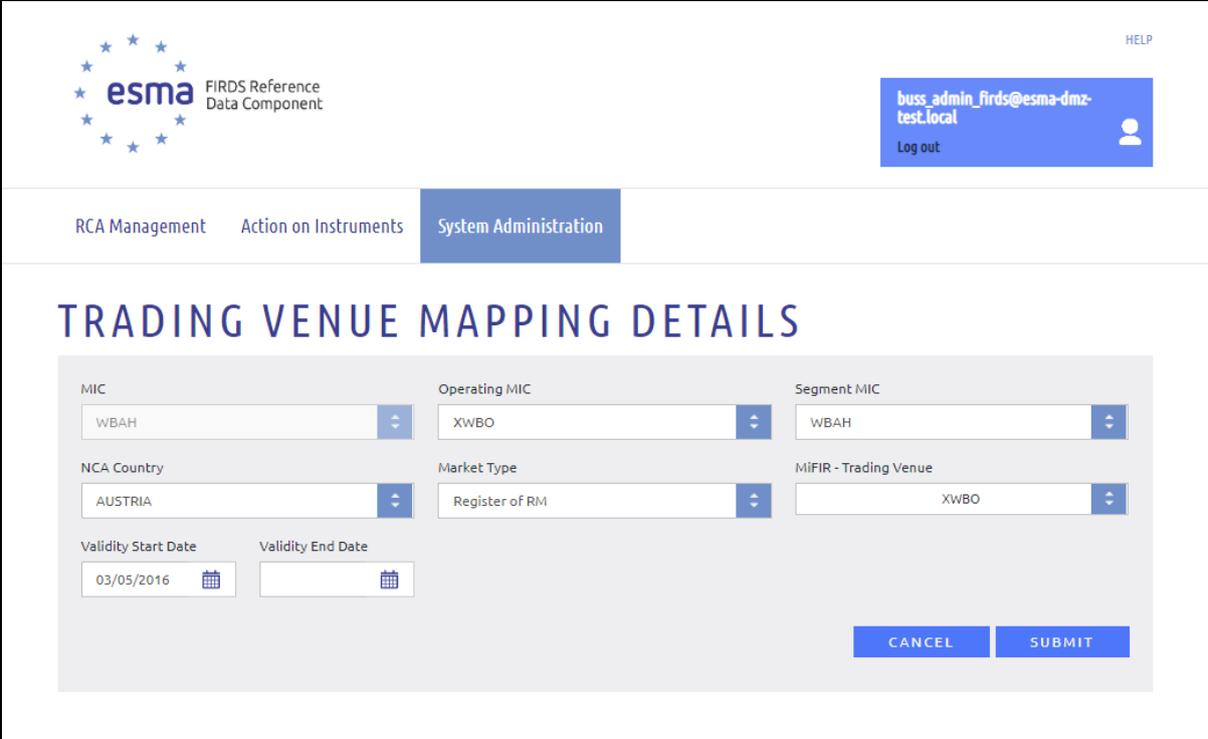
For CFI Codes only CFI Code will be edited and it is editable.

For NCAs, the **Country** field is not editable.

For Reporting Calendar all fields are editable.

For CFI-Based Validations, the **CFI Construct** and RTS23 Field Number fields are not editable.

For Error Info, the **Internal Code** field is not editable.



**Image 42: Edit record in Trading Venue Mapping screen**

In order to save the inserted data the user clicks the  button.

In order to discard the changes the user clicks the  button.

In case not all mandatory fields are inserted, an indicative error message will be displayed.



FIRDS Reference Data Component

HELP

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 Log out 

RCA Management
Action on Instruments
System Administration

## TRADING VENUE MAPPING DETAILS

✖ You have 1 error(s)

<p>MIC</p> <input type="text" value="WBAH"/>	<p>Operating MIC</p> <input type="text" value="- Select -"/> <p style="color: red; font-size: small;">This field is mandatory</p>	<p>Segment MIC</p> <input type="text" value="WBAH"/>
<p>NCA Country</p> <input type="text" value="AUSTRIA"/>	<p>Market Type</p> <input type="text" value="Register of RM"/>	<p>MIFIR - Trading Venue</p> <input type="text" value="XWBO"/>
<p>Validity Start Date</p> <input type="text" value="03/05/2016"/>	<p>Validity End Date</p> <input type="text" value=""/>	

CANCEL
SUBMIT

**Image 43: Mandatory field errors when editing in Trading Venue Mapping screen**

#### 5.4. Delete existing record in Internal Data Tables

After having conducted the search as described in section 4.1, the ESMA IT Administrator or the ESMA Business Administrator may delete existing records in all screens, apart from the Error Info page.

The user may specify the records to be deleted by selecting the available checkbox and click the DELETE button.



FIRDS Reference Data Component

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## TRADING VENUE MAPPING

MIC:  Operating MIC:  NCA Country:

Validity Start Date: From  To

Validity End Date: From  To

ADD
SEARCH
CLEAR


280
TRADING VENUE MAPPING RECORDS

20 per page

DELETE
< 1 2 3 4 5 6 7 8 > >>

	MIC	NCA COUNTRY	OPERATING MIC	SEGMENT MIC	MARKET TYPE	MIFIR - TRADING VENUE	VALIDITY START DATE	VALIDITY END DATE	ACTION
<input type="checkbox"/>	WBAH	AUSTRIA	XWBO	WBAH	Register of RM	XWBO	03/05/2016		<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>
<input checked="" type="checkbox"/>	WBDM	AUSTRIA	XWBO	WBDM	Register of MTF	XWBO	03/05/2016		<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>
<input type="checkbox"/>	WBGF	AUSTRIA	XWBO	WBGF	Register of RM	XWBO	03/05/2016		<span style="background-color: #4a7ebb; color: white; padding: 2px 5px;">EDIT</span>

**Image 44: Delete record in Trading Venue Mapping screen**

## 5.5. Authorised Entities Interface

From the System Administration menu, the user can access the Authorised Entities interface. The Authorised Entities Page offers the possibility to:

- Search for MIC Updates proposed by Authorised Entities Register
- Approve MIC Updates proposed by Authorised Entities Register
- Reject MIC Updates proposed by Authorised Entities Register



**Image 45: Authorised Entities Interface**

### 5.5.1 Filter changes proposed by Authorised Entities Register

A filtering section is available, assisting the user to have access to specific proposed changes, applying the following filtering criteria:

- **MIC:** The user may filter the system by selecting on the available MICs. The returned results will be related to the specific MIC for which an update has been proposed by Authorised Entities Register.
- **Market Type:** The user may filter the system by selecting on the available MiFIR Identifiers. The returned results will be the MICs for which the selected Market Type has been proposed by Authorised Entities Register.
- **NCA Country:** The user may filter the system by selecting on the available countries. The returned results will be MICs that are under the selected country's jurisdiction.
- **Authority Name:** The user may filter the system by typing a specific Authority Name.
- **Status:** The user may filter the system by selecting the available statuses (i.e. Approved, Rejected, Pending).

The specified filtering criteria are applied upon clicking the  button.

Where no filtering criteria is applied, the system displays all records.



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## AUTHORISED ENTITIES

MIC:

Market Type:

NCA Country:

Authority Name:

Status:

Display only latest proposed changes

Display only pending proposed changes

SEARCH

CLEAR

**Image 46: Search for changes proposed by Authorised Entities Register**

The user may check the “Display only pending proposed changes” checkbox at the filtering section. In that case, the displayed results will include only MIC updates, proposed by Authorised Entities Register, that are pending and not rejected or approved:



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## AUTHORISED ENTITIES

MIC:

Market Type:

NCA Country:

Authority Name:

Status:

Display only latest proposed changes
  Display only pending proposed changes

SEARCH

CLEAR


3
AUTHORISED ENTITIES RECORDS

Select All

MIC	MARKET TYPE	AUTHORITY NAME	NCA COUNTRY CODE	STATUS	STATUS UPDATE DATE	CREATION DATE	LAST RETRIEVAL DATE	RESPONSIBLE USER
<input type="checkbox"/>	XVPB SINT	Finanzmarktaufsicht (FMA)	LI	PNDG		07/06/2022 14:24:31	08/06/2022 10:57:12	
<input type="checkbox"/>	XWAR RMKT	Polish Financial Supervisory Authority Old (KNF)	PL	PNDG		01/06/2022 13:14:32	06/06/2022 06:15:23	
<input type="checkbox"/>	XWAR RMKT	Polish Financial Supervisory Authority (KNF)	PL	PNDG		07/06/2022 14:24:32	08/06/2022 10:57:13	

**Image 47: Display only pending proposed changes**

The user may check the “Display only latest proposed changes” checkbox at the filtering section. In that case, the displayed results will include only the latest MIC updates, proposed by Authorised Entities Register:

Note: Only for latest proposed changes with status “Pending”, the values that contain actual updates are highlighted with blue.



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## AUTHORISED ENTITIES

MIC:

Market Type:

NCA Country:

Authority Name:

Status:

Display only latest proposed changes

Display only pending proposed changes

SEARCH

CLEAR


2
AUTHORISED ENTITIES RECORDS

20 per page

<
1
>

REJECT

APPROVE

Select All

MIC	MARKET TYPE	AUTHORITY NAME	NCA COUNTRY CODE	STATUS	STATUS UPDATE DATE	CREATION DATE	LAST RETRIEVAL DATE	RESPONSIBLE USER
<input type="checkbox"/>	XVPB SINT	Finanzmarktaufsicht (FMA)	LI	PNDG		07/06/2022 14:24:31	08/06/2022 10:57:12	
<input type="checkbox"/>	XWAR RMKT	Polish Financial Supervisory Authority (KNF)	PL	PNDG		07/06/2022 14:24:32	08/06/2022 10:57:13	

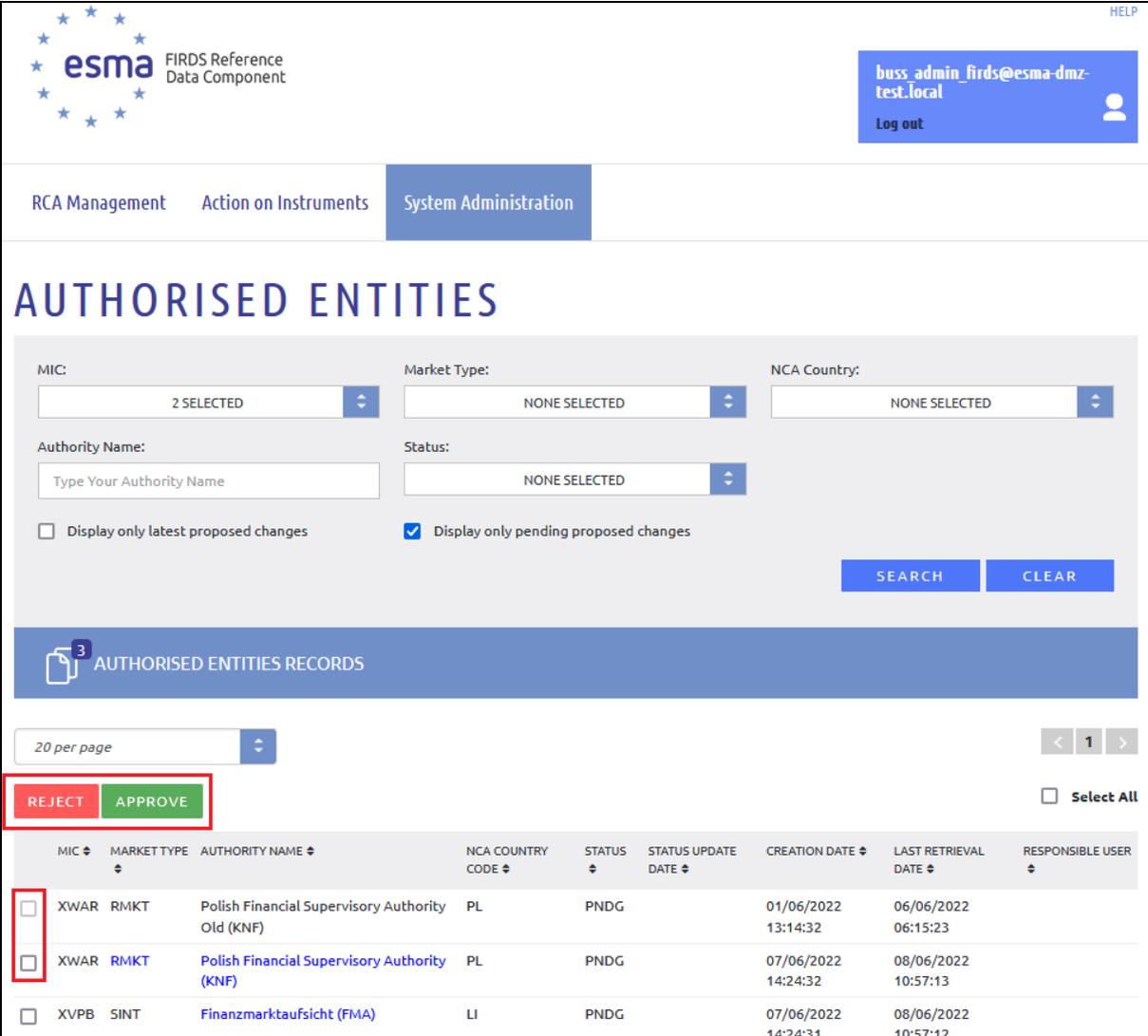
**Image 48: Display only latest proposed changes**

### 5.5.2 Approve/Reject changes proposed by Authorised Entities Register

After having conducted the search for MIC changes proposed by Authorised Entities Register, as described in section 5.1, the user can accept or reject changes.

The ESMA IT Administrator or the ESMA Business Administrator may specify the proposed changes to be approved/reject by selecting the available checkboxes.

Note: The ESMA IT Administrator or the ESMA Business Administrator is only able to select latest proposed changes with status “Pending”.



**AUTHORISED ENTITIES RECORDS**

20 per page

REJECT APPROVE

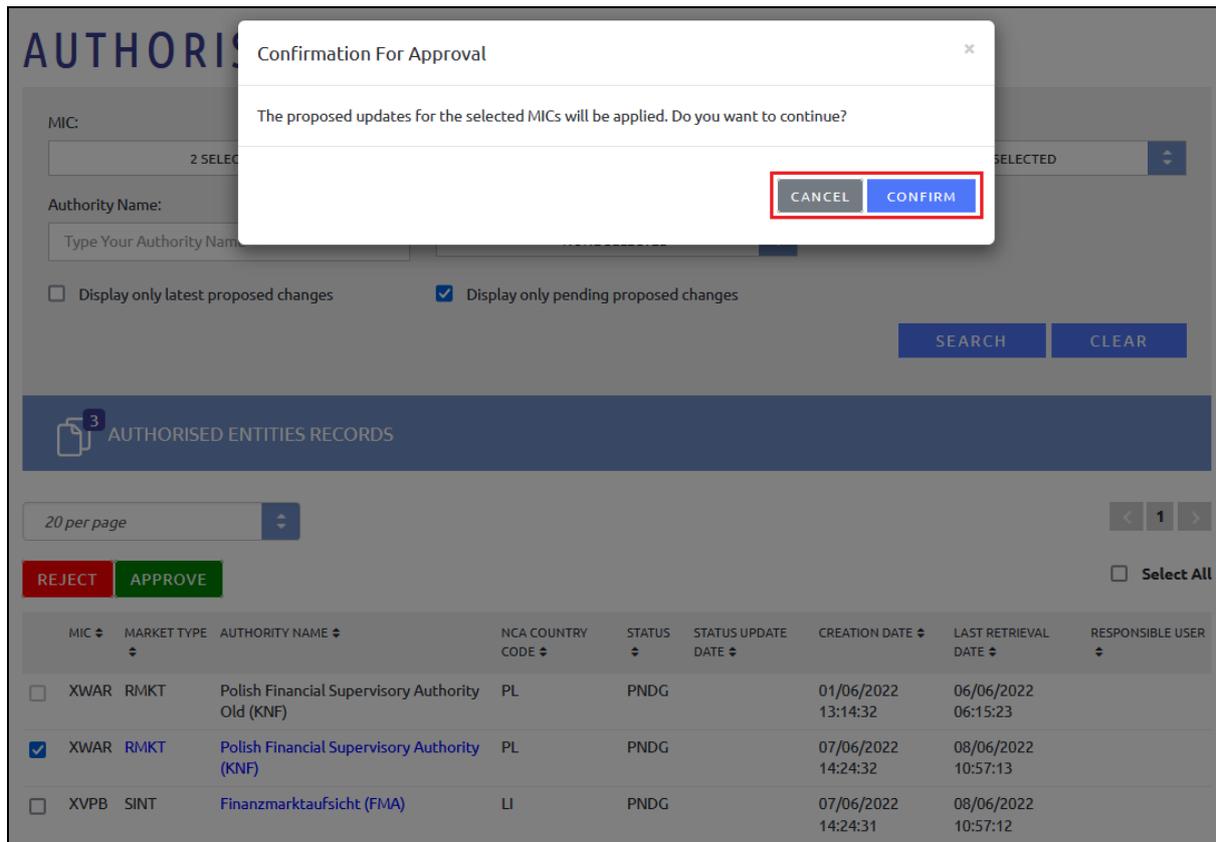
MIC	MARKET TYPE	AUTHORITY NAME	NCA COUNTRY CODE	STATUS	STATUS UPDATE DATE	CREATION DATE	LAST RETRIEVAL DATE	RESPONSIBLE USER
<input type="checkbox"/>	XWAR RMKT	Polish Financial Supervisory Authority Old (KNF)	PL	PNDG		01/06/2022 13:14:32	06/06/2022 06:15:23	
<input type="checkbox"/>	XWAR RMKT	Polish Financial Supervisory Authority (KNF)	PL	PNDG		07/06/2022 14:24:32	08/06/2022 10:57:13	
<input type="checkbox"/>	XVPB SINT	Finanzmarktaufsicht (FMA)	LI	PNDG		07/06/2022 14:24:31	08/06/2022 10:57:12	

**Image 49: Select changes proposed by Authorised Entities Register**

The ESMA IT Administrator or the ESMA Business Administrator may approve the selected MIC proposed changes by clicking the **APPROVE** button.

The ESMA IT Administrator or the ESMA Business Administrator may reject the selected MIC proposed changes by clicking the **REJECT** button.

Upon click on one of the above buttons, a pop-up window is displayed, in order for the user to confirm or cancel the Approval/Rejection of the proposed changes.



**Image 50: Confirm or Cancel the Approval/Rejection of the selected changes**

Once an Approval or Rejection is confirmed, the status of the record is updated accordingly, and the fields “Status Update Date” and “Responsible User” are populated:



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## AUTHORISED ENTITIES

MIC:

Market Type:

NCA Country:

Authority Name:

Status:

Display only latest proposed changes
  Display only pending proposed changes

SEARCH

CLEAR


2
AUTHORISED ENTITIES RECORDS

20 per page

1

REJECT

APPROVE

Select All

	MIC	MARKET TYPE	AUTHORITY NAME	NCA COUNTRY CODE	STATUS	STATUS UPDATE DATE	CREATION DATE	LAST RETRIEVAL DATE	RESPONSIBLE USER
<input type="checkbox"/>	XWAR	RMKT	Polish Financial Supervisory Authority Old (KNF)	PL	PNDG		01/06/2022 13:14:32	06/06/2022 06:15:23	
<input type="checkbox"/>	XWAR	RMKT	Polish Financial Supervisory Authority (KNF)	PL	APRV	27/06/2022 09:14:18	07/06/2022 14:24:32	08/06/2022 10:57:13	buss_admin_firds@esma-dmz-test.local

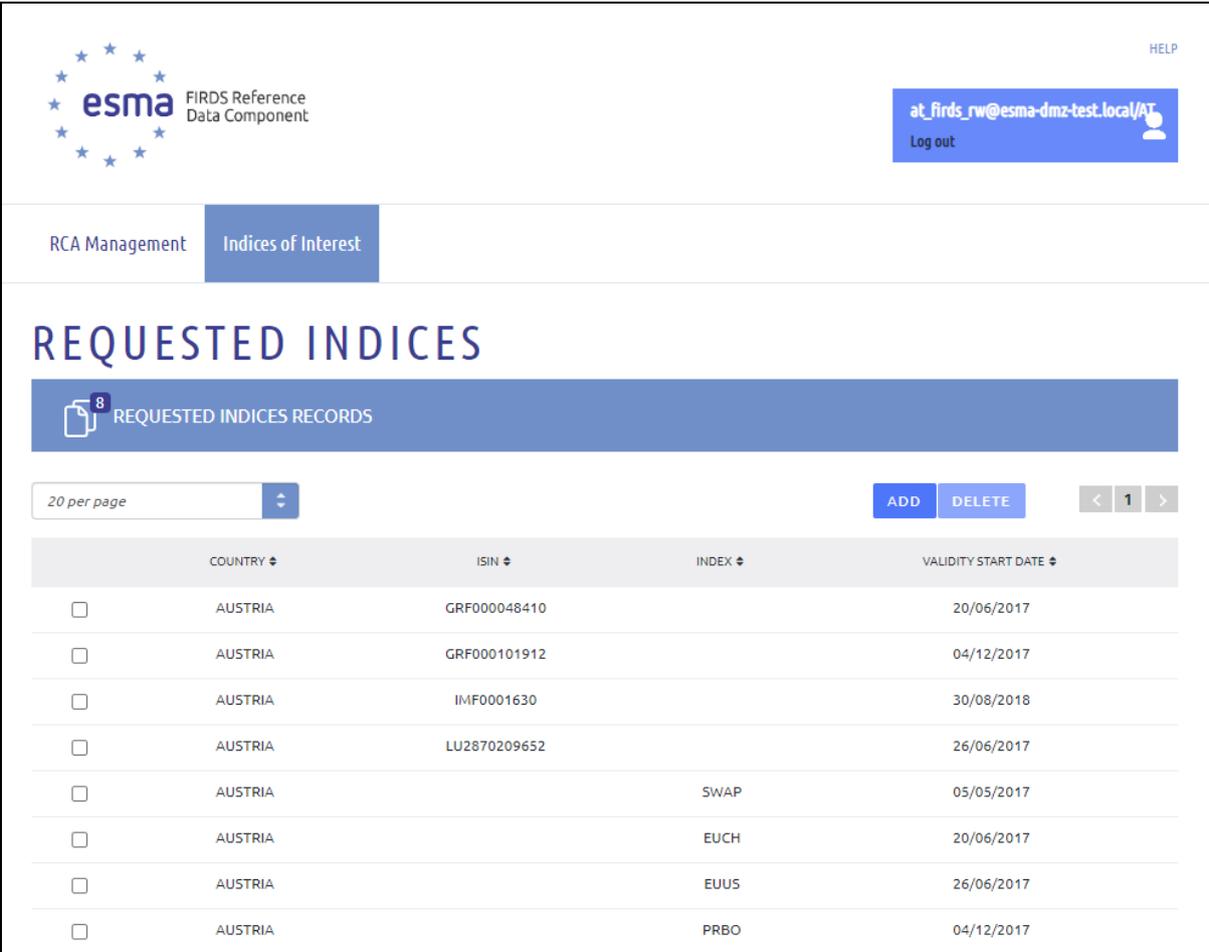
**Image 51: Approved changes**

### 5.5.3 Organizing Filtered Results

The system offers the user the possibility to organize the displayed results, as described in section [3.2.5 Organizing Filtered Results](#).

## 6. MANAGE EXPRESSIONS OF INTEREST ON INDICES

After accessing the FIRDS Register, as described in section 2, the NCA user reaches the Requested Indices screen by clicking first the *System Administration* button available at the menu bar at the top of the page and then, by clicking Requested Indices.



The screenshot displays the 'REQUESTED INDICES' screen. At the top left is the ESMA logo and 'FIRDS Reference Data Component'. At the top right is a 'HELP' link and a user profile box for 'at\_firds\_rw@esma-dmz-test.local/AT' with a 'Log out' button. Below the navigation bar, the title 'REQUESTED INDICES' is prominent. A blue bar indicates '8 REQUESTED INDICES RECORDS'. A '20 per page' dropdown and 'ADD'/'DELETE' buttons are visible. The table below has the following data:

	COUNTRY	ISIN	INDEX	VALIDITY START DATE
<input type="checkbox"/>	AUSTRIA	GRF000048410		20/06/2017
<input type="checkbox"/>	AUSTRIA	GRF000101912		04/12/2017
<input type="checkbox"/>	AUSTRIA	IMF0001630		30/08/2018
<input type="checkbox"/>	AUSTRIA	LU2870209652		26/06/2017
<input type="checkbox"/>	AUSTRIA		SWAP	05/05/2017
<input type="checkbox"/>	AUSTRIA		EUCH	20/06/2017
<input type="checkbox"/>	AUSTRIA		EUUS	26/06/2017
<input type="checkbox"/>	AUSTRIA		PRBO	04/12/2017

**Image 52: Requested Indices screen**

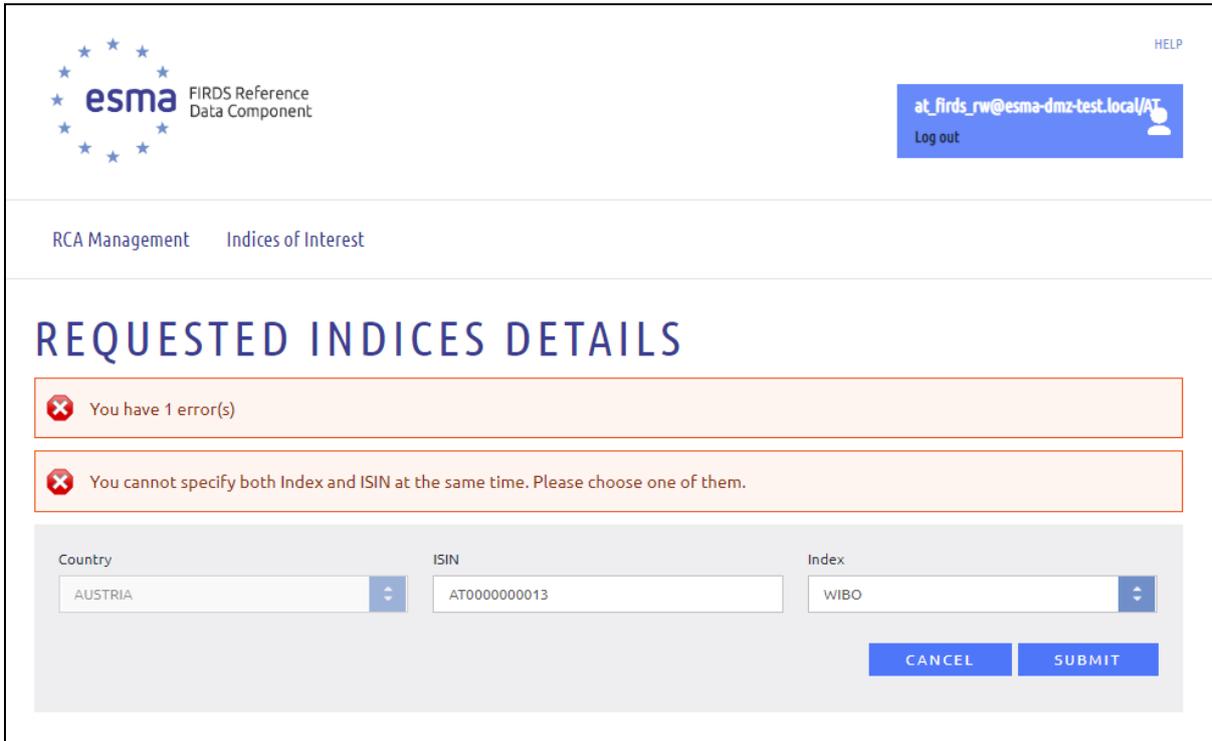
### 6.1. Add new record in Requested Indices

The NCA user may add new records in the screen by clicking the **ADD** button.

In order to save the inserted data, the user clicks the **SUBMIT** button.

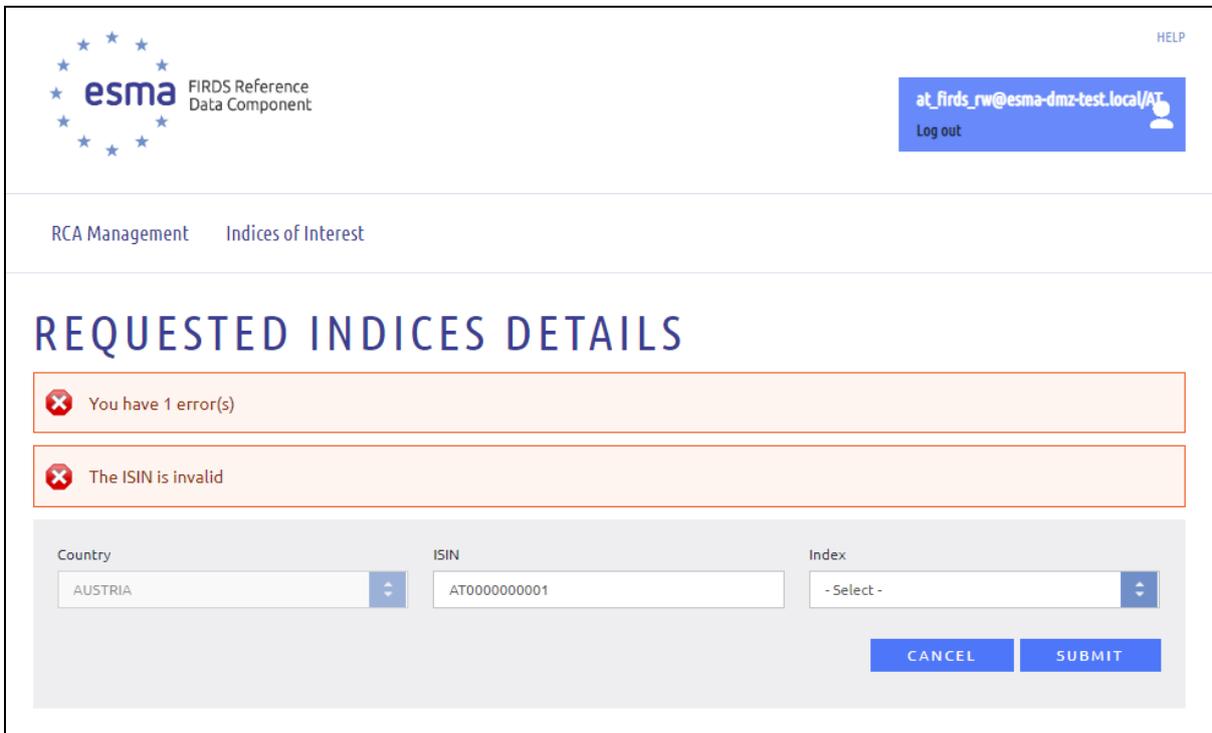
In order to discard the changes, the user clicks the **CANCEL** button.

The user should enter either the ISIN or the Index. In case both are specified, an error is displayed.



**Image 53: Error message about having both ISIN and Index in Requested Indices screen**

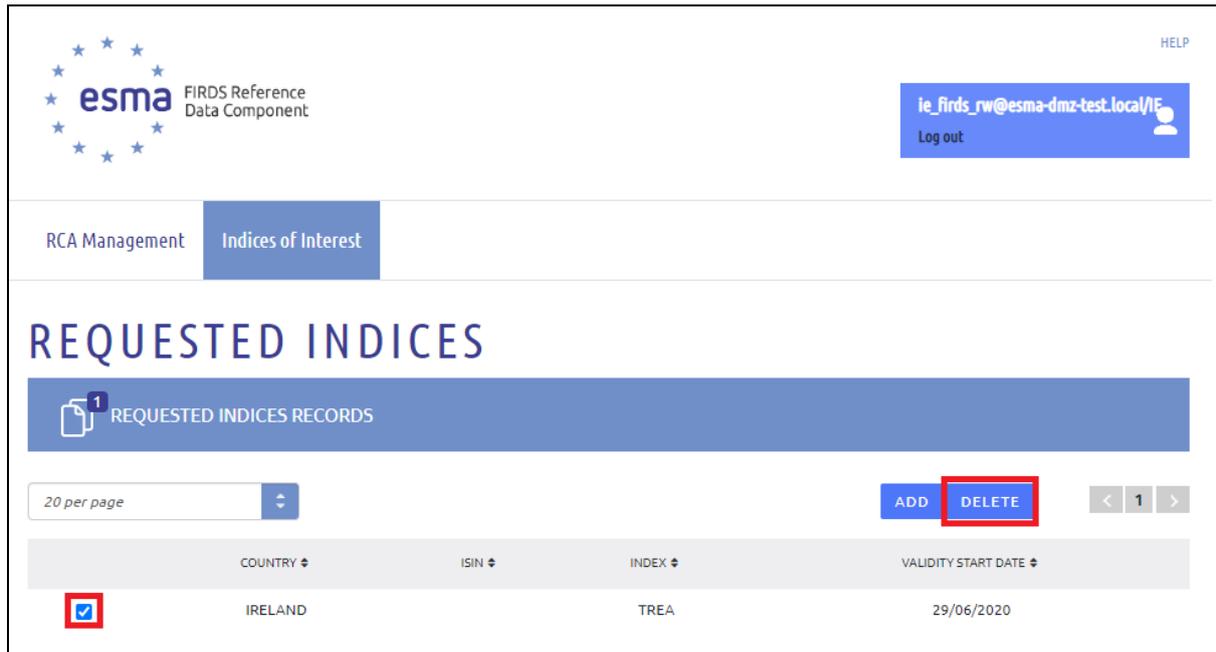
The user should enter a valid ISIN, otherwise an error is displayed.



**Image 54: Search for Trading Venue Mapping records Error message about ISIN in Requested Indices screen**

## 6.2. Delete existing record in Internal Data Tables

The user may specify the record to be deleted by selecting the available checkbox and click the **DELETE** button.



**Image 55: Delete in Requested Indices screen**