FIRDS
Extranet – User Guide
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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](image1.png)

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](image2.png)
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.

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
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

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.

3.2.  RCA Change Management

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

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

Image 9: Show only Pending Manual 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 approved/reject by selecting the available checkboxes.

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

- [Select All] [Select Related]
- ISIN: AT0009999951
- Current RCA: AUSTRIA
- Information:
  - Type: N21
  - Year: 2021
  - Country of Jurisdiction: Austria
  - Country Name: Austria
  - Date: 01/04/2021
  - Proposed RCA: AUSTRIA
  - Status: 01
  - Applicable Date: 01/04/2021
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.

4. 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.

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.

---

**Image 13: Select a Reassessment Change Request**
The NCA user or ESMA Business Administrator may approve the selected Reassessment Change Requests by clicking the blue "APPROVE BYPASS" button.

The NCA user or ESMA Business Administrator may reject the selected Reassessment Change Requests by clicking the blue "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.
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.

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

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.)
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.
3.4. **RCA-MIC Change Management**

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

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.
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.
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](image-url)
3.5. RCA-MIC Change Submission

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

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

In case the entered ISIN does not exist in FIRDS database or it is fully terminated, an error message will be displayed:
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).
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
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.
Image 30: Submit an RCA-MIC Change

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

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.

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 32: Update Termination Dates](image)

![Image 33: Update Termination Date Page – File Selection](image)
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).
- 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

Update
Termination Date Template.csv
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.

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:
• 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.
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.

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**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.
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](image)

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.
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.
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

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 **Search** button.

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

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:
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.

![Image 52: Requested Indices screen](image)

### 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]