ICE IDENTIFIER ADMIN - MIFID
USER GUIDE
November 2021

CONTENTS

Revision History

Date	Version	Comment
August	1	- Initial Identifier Admin Guide
August	2	- Updated Reserved Short Code 3 from 'CLIENT' to 'NORE' based on ESMA updated guidance on MIFIR reporting
September	3	- Added support for Reserved Short Codes 1 / AGGR and 2 / PNAL - Updated Algo Tested flag usage - Updated fields only applicable to non-MIFID Investment firms
November	4	- Added section for automated email alerts for Pending Short Codes and Profiles - Added section for MFT support for bulk upload of .csv files for Short Codes and Profiles - Added section for Short Code and Profile limit per Company

		- Updated WebICE and ICEBlock sections to note that they will now support entry of the seven individual fields in addition to the Profile like FIX OS order entry (available in early December)
December	5	- Updated with changes made in December release 　o Updated Short Code section with the following changes: 　　o Added optional Label field on Short Code 　　o Updated character minimum allowed on Identifier value to be 1 character (vs 4) and updated max length when a 'Person' to be 33 (vs 50). Algo max is still 50. 　　o Updated restrictions that all alpha characters should always be in CAPS, including those values in the CONCAT 　　o Updated that when adding a Client who is a Person, if the CONCAT is used, the Date of Birth in the CONCAT must match the Date of Birth selected in the DOB fields. From the GUI, IIA will automatically create the CONCAT for the user. But from the upload, the CONCAT must always be supplied, and IIA will validate the Date of Births match 　o Added Clearing Firm access section to detail what a Clearing Firm can view/edit 　o Updated WebICE and ICEBlock sections to show the support for entry of the seven individual fields in addition to the Profile 　o Updated ACE section to show new query to allow the user to search deals for Pending Short Codes and Pending Profiles
April	6	- Updates to Person ID Type for new value 'Not Specified' that MIFID Investment Firms can leave as-is or update; non-MIFID Investment Firms must choose either CONCAT, National ID or Passport - Updates to pending Short Codes/Profile data - will only include "top day" pending codes (from previous day at 1800 ET) - Updates to Hide/Unhide Short Codes
October 2020	7	Inclusion of Member investment firm status Changes to permit profile, shortcode deletion Impact of DEA status on logic Improved guidance on trading capacity Added section for Multi Company Import and Exports Added section for Company Portal
January 2021	8	Added ability to delete Short Codes and Profiles
March 2021	9	Added National ID guidance for ICE Endex and IFEU members.
Nov 2021	10	Merged Error Mgmt guide to this user guide

OVERVIEW

ICE's Identifier Admin (IIA) is an Exchange application that will allows the creation of Short Codes for three of the new MiFID II order attributes (Execution within Firm, Investment Decision within Firm and Client).

In addition, the application supports the creation of a Profile ID which is a single identifier for all seven of the new MiFID II order attributes (three fields represented by Short Codes and the four additional values for Deal Capacity, DEA Access, Liquidity Provision Activity and Commodity Derivative Indicator). The Profile is an optional order entry method for FIX and WebICE users (individual attributes can be submitted instead).

Additionally, the application is used by IFEU Members to affirm their MiFID Investment Firm status.

The Identifier Admin supports the entry and modification of Short Code and Profile data via the GUI and through a bulk .csv upload. The bulk upload is also available via MFT.

The Identifier Admin is available as a standalone application accessible via the ICE homepage. It is automatically available to WebICE users with superuser and risk manager permissions, User Admins and can be provisioned for any other user.

It is important for users of IIA to understand the exact order and trade flow that the data supports. Under the Exchange's Rules every order is submitted by a Member of the Exchange regardless of the actual participant connectivity arrangements. The data is therefore describing the roles being performed by the Member and identifying the initial direct client of the Member. Roles such as Execution within Firm and Investment Decision refer to the Member.

Short codes are unique for each trading company. Users should take care to ensure that they are updating the relevant company which may not be the same as the main company created for the Member. Similarly, for the data to useful then the trading system addressing the Exchange needs to know which short codes and profiles have been created. I.e. if in company 100 a client short code of 5 has been created the trading system needs to quote this code on the order it submits.
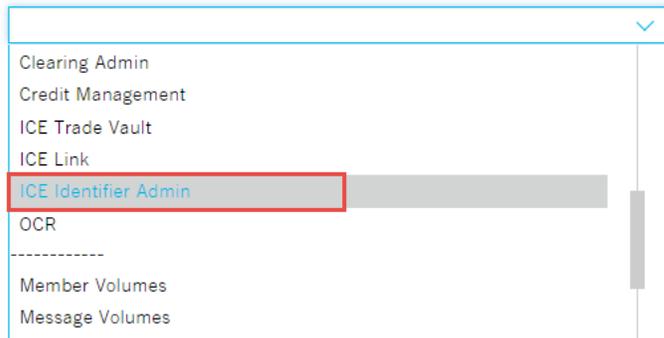
1 IDENTIFIER ADMIN

1.1 LAUNCHING IDENTIFIER ADMIN

1.1.1. FROM WEB

From the _ICE HOMEPAGE_ select ICE Identifier Admin from the Login dropdown and enter your ICE ID/password.

1.2 ACCESS

Existing userIDs will be granted access based on the following rules:

- UserIDs with 'risk manager' or 'superuser' market type permissions or UserIDs designated as the company's ICE Administrator will have 'edit' access

  – User with 'edit' access will see a semi-hashed version of sensitive data (e.g. *****1234)

- UserIDs without the permissions noted above can also be granted 'edit' or 'view-only' access by the ICE User Admin group upon request by the company's ICE Administrator.

  – Users with 'view-only' access will see a fully-hashed version of sensitive data (e.g. *********)

1.3 SHORT CODES
The first tab within the Identifier Admin allows users to view, edit and import/export Short Codes.

1.3.1. VIEWING

1.3.1.1. COLUMNS DISPLAYED

All existing Short Codes for the company are displayed when selecting the Short Codes tab. The tab contains the following columns from left to right:

- **Short Code** - User defined value for Short Code (must be an integer; 8 bytes; up to 9,223,372,036,854,775,807)
- **Short Code label** - Optional description of the Short Code only visible within IIA
- **Type** - The type of Short Code (represented by an icon)
    - Execution within Firm 🏷 (the person or algorithm within the investment firm who is responsible for the execution)
    - Investment Decision within Firm $ (the person or algorithm within the investment firm who is responsible for the investment decision)
    - Client 👤 (the client of the member or participant of the trading venue)
- **Id Type** - The Identifier Type
    - If Execution with Firm, the Identifier Type is a Person or Algo
    - If Investment Decision within Firm, the Identifier Type is a Person or Algo
    - If Client, the Identifier Type is a Legal Entity or Person
- **Person ID Type** - The type of Person Identifier; *applicable only to non-MIFID Investment Firms (MIFID Investment Firms will see this field, but it is optional)*
    - o Not Specified - Default value; non-MIFID Investment Firms must update this default value to one of the values described below; MIFID Investment Firms can leave the value 'Not Specified' or update
    - o CONCAT - A concatenation of DOB in the format YYYYMMDD, the first five characters of the first name, and the first five characters of the last name. Names shorter than five characters should be appended by # to ensure each CONCAT is always exactly 18 characters (e.g. 19720329STEPHSMITH, 19681230JAY##PATEL,19800131ROBERBELL#, etc.). All alpha characters must be in all CAPS.
    - o Passport
    - o National ID
        Note: The UK National Insurance number is not valid for UK persons active on the ICE Endex markets. UK persons active on the ICE Endex markets should use the passport number (or CONCAT if the passport number is unavailable). UK persons with dual membership (IFEU and ICE Endex) should create a National ISD short code (and Profile) for the IFEU markets and a separate short code (and Profile) referencing the passport number (or CONCAT) for the ICE Endex markets.

UK Persons Identifiers	1st Choice	2nd Choice
IFEU	National Insurance No	CONCAT
NDEX	Passport No	CONCAT

- **Identifier** - The Identifier Value required by the regulator based on the Short Code and Identifier Type
    - If Person, the Person's Identifier
        - Up to 33 alphanumeric characters allowed. All alpha characters must be in all CAPS.
    - If Algo, the Algo's Identifier
        - Up to 50 alphanumeric characters allowed. All alpha characters must be in all CAPS.
    - If Legal Entity, a valid Legal Entity Identifier (LEI)
- **First Name, Last Name** and **DOB** - Additional data when the Client is a Person; alpha characters only in ALL CAPS, *applicable only to non-MIFID Investment Firms (MIFID Investment Firms will not see these fields)*
- **P(erson) Country -** Required when the Execution within Firm, Investment Decision within Firm or Client are a Person. This represents the person's country and will be prepended to the Identifier for MIFID transaction reporting
- **B(ranch) Country** - Additional data when the Execution within Firm or Investment Decision within Firm are a Person. For Investment Decision within Firm, this is the "country of the branch responsible for the person making the investment decision". For Execution within Firm, this is the "country of the branch supervising the person responsible for the execution"; *applicable only to non-MIFID Investment Firms (MIFID Investment Firms will not see this field)*
- **Algo Tested** - Indication that the Algo has been tested and certified; required when the Execution within Firm or Investment Decision within Firm are an Algo
- **Decision Maker** - Optional data relevant when the Short Code Type is Client"; *applicable only to non-MIFID Investment Firms (MIFID Investment Firms will not see this field)*

1.3.1.2. FILTERING

There is a global filter in addition to filters on each column within the Short Codes tab.

Global Filter

The global filter is a free-form text box. It is a "contains" filter that will look for any matching characters in any fields.
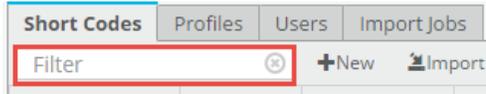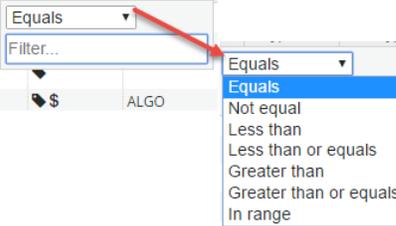
Column Filters

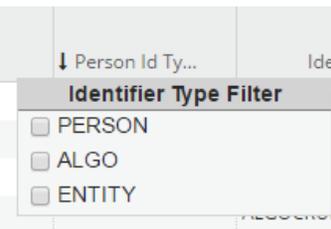The filters on each column depend on the contents of the column.

Numeric values (e.g. Short Code) have the following filter criteria:
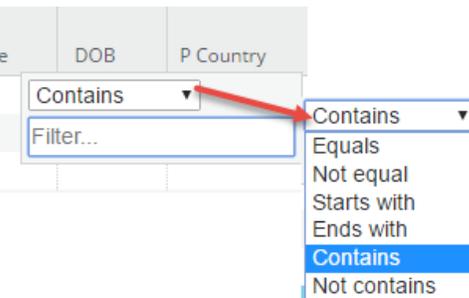

Columns that contain pre-defined lists (e.g. Short Code Type, Identifier Type, etc.) have a filter that displays the specific values with a checkbox:

Alphanumeric values (e.g. First Name, Last Name, etc.) have the following filter criteria:

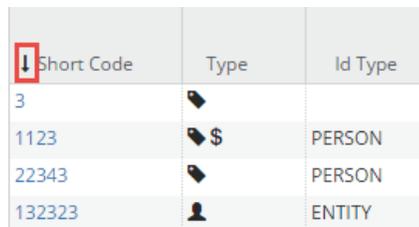### 1.3.1.3.   SORTING

Each column can be sorted in ascending or descending order by clicking to the left of the column label.

1.3.1.4. HIDING / SHOWING

Short Codes can be removed from the view by selecting the Hide / Show icon. Moving Short Codes from the Visible to Hidden panel will remove them from the view. Conversely, hidden Short Codes can be made visible again.

1.3.2. ADDING/EDITING

1.3.2.1. *EXECUTION WITHIN FIRM OR INVESTMENT DECISION WITHIN FIRM*

To add a Short Code for 'Execution within Firm' or 'Investment Decision within Firm', click the '+New' button.
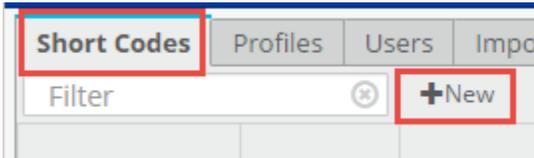
The 'Create Shortcode' window will be displayed in its default state.
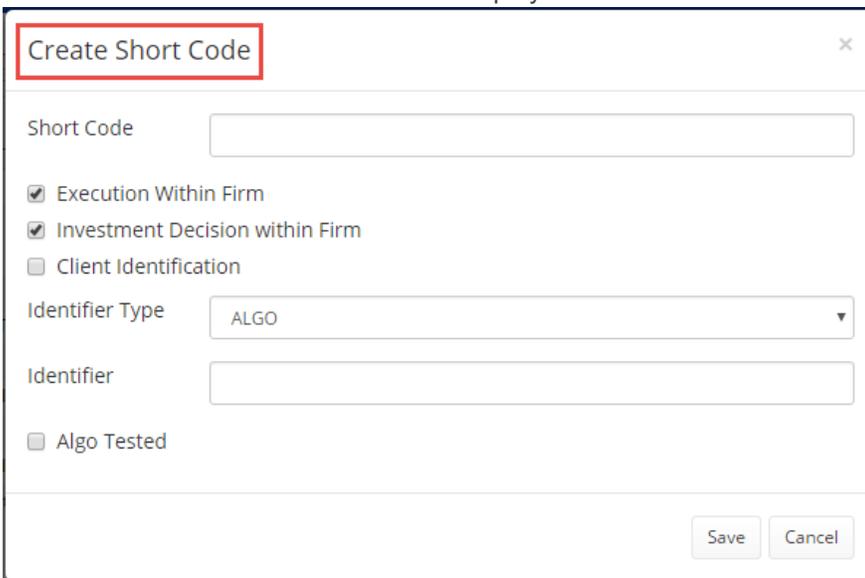
Enter the Short Code value and select the appropriate Short Code Type. **Short Codes must be unique per Company and per Short Code Type.**

Please note that adding a Short Code for 'Execution with Firm' or 'Investment Decision within Firm' has the same data entry rules and validations. So, if you want to assign the same Short Code value and underlying data to both the 'Execution within Firm' and 'Investment Decision within Firm', you can select both checkboxes to quickly enter data.

Alternatively, you can simply select only the 'Execution within Firm' or 'Investment Decision within Firm' checkbox.

For Execution within Firm and Investment Decision within Firm, you must select if the Identifier Type is for an Algo or Person.

If Algo is specified, enter the Algo Identifier (can be up to 50 alphanumeric characters; alpha characters must be in ALL CAPS) and check the 'Algo Tested' flag to confirm the Algo has passed conformance testing with the Exchange.

If Person is specified, **non-MIFID Investment firms** enter the Type of Person Identifier, the Person Identifier and select the corresponding Person Country and Branch Country.

MIFID Investment firms will only be able to enter the Person Id Type (optional), Person Identifier (required) and Person Country (required).

Please note that the 'Person Identifier' is either a National ID, Passport Number or a CONCAT. The CONCAT Is a concatenation of the DOB in the format YYYYMMDD, the first five characters of the first name, and the first five characters of the last name. Names shorter than five characters should be appended by # to ensure each CONCAT is always exactly 18 characters (e.g. 19720329STEPHSMITH, 9681230JAY##PATEL, 19800131ROBERBELL#, etc.). All alpha characters must be in all CAPS.

Each country has a hierarchy of what 'Person Identifier' is required so please consult the ESMA guidelines on what your country requires (Section 11, Question 2):

https://www.esma.europa.eu/system/files_force/library/esma70-1861941480-56_qas_mifir_data_reporting.pdf

Also, due to the sensitive nature of the 'Person Identifier', it will be hashed and encrypted immediately and required to be entered twice to ensure its accuracy. Users with "edit" capabilities will see a "semi-hashed" version of data (i.e. ****1234, only the last 4 characters will be exposed). Users with "view" capabilities will see a "fully hashed" version of the data (i.e. ********, no characters will be exposed). There is no way to ever retrieve or fully view the

original data once entered. You must re-enter the data completely if it needs to be edited or you are unsure of the contents.

1.3.2.2.   CLIENT

To add a Short Code for Client, click the '+New' button.
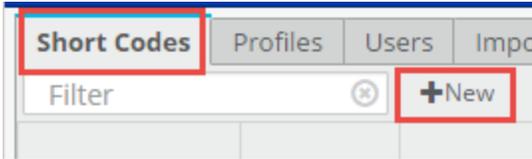
Enter the Short Code value and select the appropriate Short Code Type, Client. **Short Codes must be unique per Company and per Short Code Type.**

For Client, you must select if the Identifier Type is for a Legal Entity or Person.

If Legal Entity is specified, a valid Legal Entity Identifier (LEI) must be provided. All LEIs are exactly 20 alphanumeric characters.

If Person is specified, **non-MIFID Investment Firms** enter the Type of Person Identifier, the Identifier, First Name (only alpha characters in all CAPS), Last Name (only alpha characters in all CAPS), Date of Birth and Person Country must be provided.

MIFID Investment firms will only be able to enter the Person Id Type (optional), Person Identifier (required) and Person Country (required).

Please note that the 'Person Identifier' is either a National ID, Passport Number or a CONCAT. The CONCAT Is a concatenation of the DOB in the format YYYYMMDD, the first five characters of the first name, and the first five characters of the last name. Names shorter than five characters should be appended by # to ensure each CONCAT is always exactly 18 characters (e.g. 19720329STEPHSMITH, 9681230JAY##PATEL, 19800131ROBERBELL#, etc.). All alpha characters must be in all CAPS.

Each country has a hierarchy of what 'Person Identifier' is required so please consult the ESMA guidelines on what your country requires (Section 11, Question 2):

Also, due to the sensitive nature of the 'Person Identifier', it will be hashed and encrypted immediately and required to be entered twice to ensure its accuracy. Users with "edit" capabilities will see a "semi-hashed" version of data (i.e. ****1234, only the last 4 characters will be exposed). Users with "view" capabilities will see a "fully hashed" version of the data (i.e. ********, no characters will be exposed). There is no way to ever retrieve or fully view the original data once entered. You must re-enter the data completely if it needs to be edited or you are unsure of the contents.

Additional Decision Maker

For the Short Code type, Client, **non-MIFID Investment firms** have the optional ability to specify an additional Decision Maker. The rules for the additional Decision Marker are identical to the Client.

When the 'Additional Decision Maker' is a Legal Entity, the same data validations for when the Client is a Legal Entity must be followed.
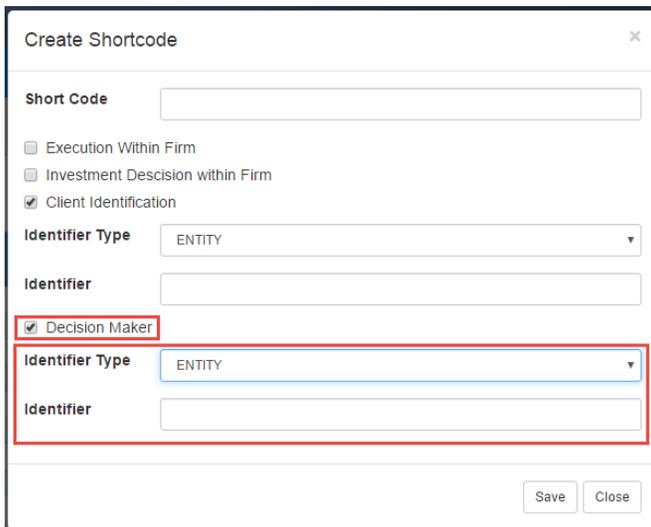
When the 'Additional Decision Maker' is a Person, the same data validations for when the Client is a Person must be followed.

1.3.3. RESERVED SHORT CODE

The following Short Codes will be reserved for use by all companies:

- '1' will be reserved for 'AGGR' for aggregated orders
  - Applicable to the Client Short Code

- '2' will be reserved for 'PNAL' for orders pending allocations
  - Applicable to the Client Short Code

- '3' will be reserved for 'NORE' (previously 'CLIENT') for DEA Providers
  - Applicable to the Execution within Firm Short Code

They will automatically appear in the Identifier Admin and cannot be edited.

1.3.4. DELETING SHORT CODES

Short Code deletion is supported via CSV upload. Delete requests are processed during the next maintenance window (6p EPT M-F). Short codes will be available for use from time of upload until the next maintenance window. Modifying the short code after uploading in the Delete file, will remove the delete request (i.e. the Short Code will still be available for use the following trading day).

The delete short code template is available in IIA in the Delete Short Codes dialogue box for download.
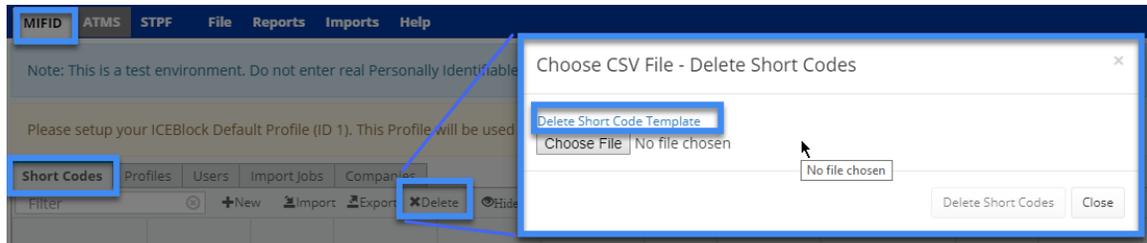
The template includes the following two columns:

1) Short Code Id=>id: numerical ID of a short code that is registered to the company selected in the top right corner of IIA.
2) Short Code Type=>type: the following standard values should be used to identify the short codes types:
   a. EXECUTION_WITHIN_FIRM,
   b. INVESTMENT_DECISION and
   c. CLIENT_IDENTIFICATION

Ensure the following criteria or else the upload will fail:

1) Short Codes are not included in a Profile (remove short code from any Profiles prior to delete request).
2) Short Codes are not Pending. If the Short Code is pending, then complete the set-up process prior to attempting to delete it.
3) Short Codes have been used on trading activity since the start of the previous trading session.
4) The user does not have permission to edit the Short Code.
5) The Short Code is reserved.

Status File:
The status file will be available in the same Delete Short Codes dialogue box. Download the Status to verify all Short Codes were processed successfully.

'Success=>success' = TRUE: Short Code will be deleted during the next maintenance window. Note: the short code will still be visible in IIA until the next maintenance window. After the short code is deleted, it can no longer be used on trading activity.

'Success=>success' = FALSE: Short Code will NOT be deleted during the next maintenance window. Review the Message for error handling.

Status File example:

Short Code Id=>id	Short Code Type=>type	Success=>success	Message=>message		
27249	EXECUTION_WITHIN_FIRM	TRUE			

1.4 PROFILES

The second tab within the Identifier Admin allows users to view, edit and import/export Profiles.

1.4.1. VIEWING

1.4.1.1 COLUMNS DISPLAYED

All existing Profiles are displayed when selecting the Profiles tab. The tab contains the following columns from left to right:

- **Profile ID** - User defined value for Short Code (must be an integer; 8 bytes; up to 9,223,372,036,854,775,807)
- **Label** - Optional description of the Profile that will be visible to users in WebICE and ICE Block
- **DE Access** - Direct Electronic Access (whether or not the order is submitted to the trading venue using direct electronic access); 'True' or 'False'
- **Trd Capacity** - Trading Capacity (indication of whether the order submission resulted from the member or participant of the trading venue carrying out matched principal trading ('MTCH'), dealing on their own account ('DEAL'), or any other trading capacity ('AOTC'); dropdown with values 'DEAL', 'MTCH' and 'AOTC'
- **LP Activity** - Liquidity Provision Activity (indication as to whether an order is submitted to a trading venue as party of a market making strategy); 'True' or 'False'
- **CD Indicator** - Commodity Derivative Indicator (indication as to whether the transaction in a commodity derivative reduces risk in an objectively measurable way in accordance with Article 57 of Directive 2014/65/EU); 'True' or 'False'. Only non-financial entities are able to enter into risk reducing transactions as defined under MiFID.
- **Exec Shortcode** - User must select an existing 'Execution within Firm' Short Code.
- **Invest Shortcode** - User must select an existing 'Investment Decision within Firm' Short Code when the Member is making the decision to trade.
- **Client Shortcode** - User must select an existing 'Client' Short Code if Trading Capacity = MTCH or AOTC, otherwise disabled

1.4.1.2 FILTERING AND SORTING

All filtering and sorting functionality is the same as described in the Short Codes section.

1.4.2. ADDING/EDITING

To add a Profile, click the '+New' button
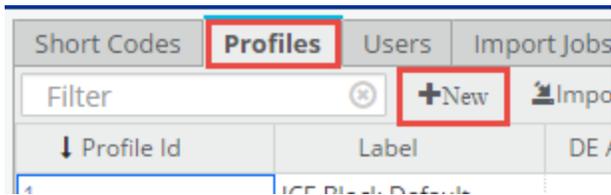
The 'Update Profile' window will be displayed in its default state.

Enter the Profile ID value. **Profile IDs must be unique per Company.** Optionally enter the Profile Label (which will be visible in webICE/ICE Block) and then check or select all remaining fields. As noted above, Investment Decision Within Firm is only required when Trading Capacity = Deal, and Client Identification Code is only required when Trading Capacity = MTCH or AOTC. When DEAL is selected the profile indicates that the Member is trading for themselves as

principal in the Member entity. Trading Capacity DEAL is therefore incompatible with DEA = True as a Member cannot simultaneously undertaking proprietary trading and providing DEA access.

To select an existing Short Code in the Execution, Investment and Client fields, you can click the dropdown which will display a table of all existing Short Codes of that Short Code Type. You can also enter a value in the dropdown to find all Short Codes containing the value entered.

1.4.4. DELETING PROFILES

Profile deletion is supported via CSV upload.   Delete requests are processed during the next maintenance window (6p EPT M-F). Profiles will be available for use from time of upload until the next maintenance window. Modifying the Profile after uploading in the Delete file, will remove the delete request (i.e. the Profile will not be deleted and the Profile will still be available for use the following trading day).

The delete Profile template is available in IIA in the Delete Profiles dialogue box for download.
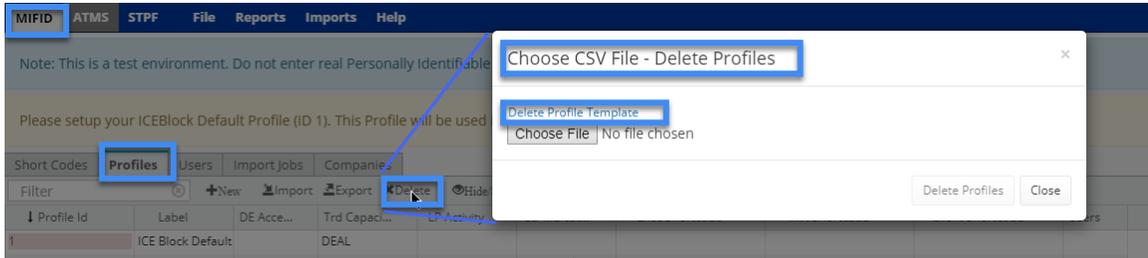
The template includes the following column:

1) Profile Id=>id: numerical ID of a Profile that is registered to the company selected in the top right corner of IIA.

Ensure the following criteria or else the upload will fail:

1) Profiles are not Pending. If the Profile is pending, then complete the set-up process prior to attempting to delete it.
2) Profiles have NOT been used on trading activity since the start of the previous trading session.

Status File:
The status file will be available in the same Delete Profiles dialogue box. Download the Status to verify all Profiles were processed successfully.

'Success=>success' = TRUE: Profile will be deleted during the next maintenance window. Note: the Profile will still be visible in IIA until the next maintenance window. After the Profile is deleted, it can no longer be used on trading activity.

'Success=>success' = FALSE: Profile will NOT be deleted during the next maintenance window. Review the Message for error handling.

1.5 ASSIGNING USERS TO PROFILES
Profiles can be assigned to userIDs from the Users and Profiles tabs. In order to enter orders in MiFID eligible markets in WebICE, a userID must have a Profile assigned to it.

1.5.1. ASSIGNING SINGLE USER TO MANY PROFILES

To assign a single UserID to one or more Profiles, click on the Users tab.

Highlight the userID to add Profiles to and click the 'Assign Profiles' button or click the link under the Profiles column.

The 'Edit Profile Permission' window will be opened.

Select one to many Profiles using the Control or Shift keys, and then use the arrow buttons to assign Profiles to the UserID.

Click Save when done.

1.5.2. ASSIGNING SINGLE PROFILE TO MANY USERS

To assign a single Profile to one or more UserIDs, click on the Profiles tab.

Highlight the Profile to add UserIDs to and click the link under the Users column.

The 'Edit Profile Permission' window will be opened.

Select one to many UserIDs using the Control or Shift keys, and then use the arrow buttons to assign UserIDs to the Profile.

Click Save when done.
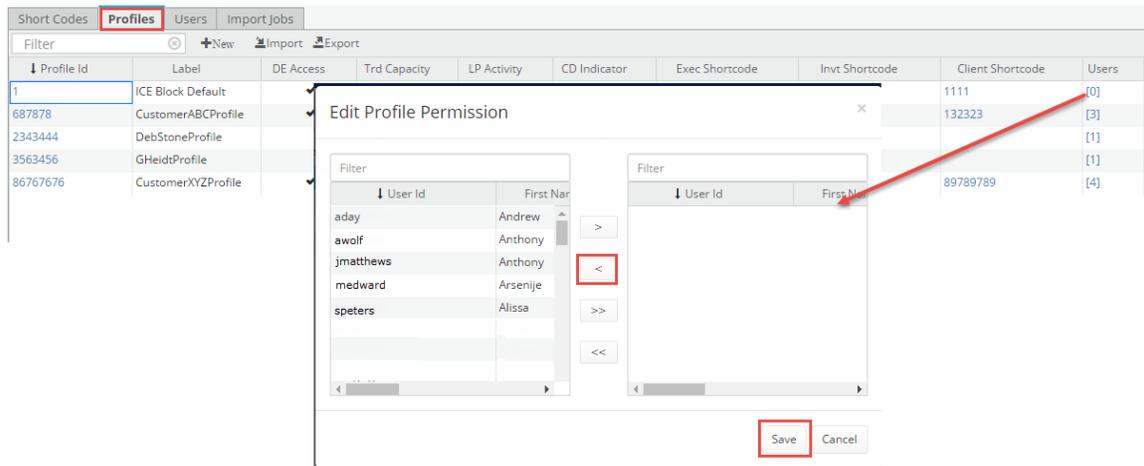
1.6. ICE BLOCK DEFAULT PROFILES

In ICE Block, a Broker can optionally select a Compliance Profile when entering an off-exchange trade. If the Broker does not select a Compliance Profile, the trade will be accepted, and the Member/DEA Client will have opportunity to add a Compliance Profile intraday via the WebICE Deal Book.

However, if no Compliance Profile is added by end of day, the Exchange will use the following hierarchy to assign a Compliance Profile to the off-exchange trade if the Exchange is responsible for reporting the trade:

- DEA User's ICE Block Default Compliance Profile; otherwise,
- DEA User's Company's ICE Block Default Compliance Profile; otherwise,
- Member Company's ICE Block Default Compliance Profile.
- If no Compliance Profile is found, the trade will be quarantined and not sent to the appropriate regulator until corrected.

Both the User and Company ICE Block Default Profiles are setup in IIA as described below.

1.6.1. ICE BLOCK USER PROFILE DEFAULT

The UserID ICE Block Default Profile can be added from the Users tab. Select a UserID and click the 'Assign Profiles' button.

The 'ICE Block Default' dropdown is at the top of the window and contains all Profiles. One can be optionally assigned to a userID as the ICE Block Default. It will be used by the Exchange in MIFID Transaction Reporting when a Broker does not enter a Compliance Profile on an off-exchange trade for that user.
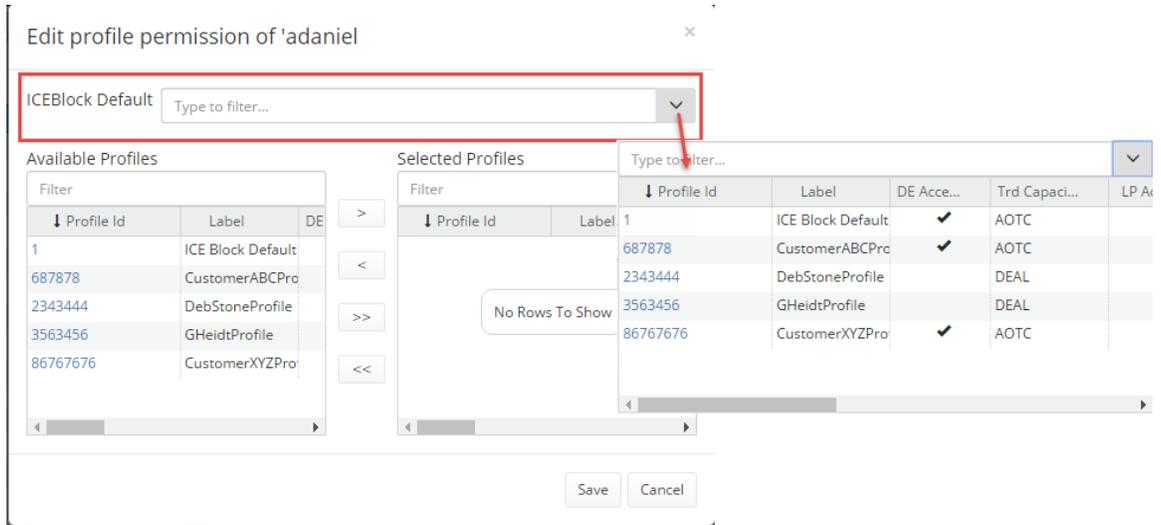
1.6.2. ICE BLOCK COMPANY PROFILE DEFAULT

The Company ICE Block Default Profile can be added from the Profiles tab. It has a Profile ID of 1 and a Profile label 'ICE Block Default'.

A warning will be displayed until the default is created and saved.

Once saved, the ICE Block Company Default could be assigned to userIDs for use via webICE (i.e. it will function like any other Profile), but as noted above, its main purpose is to be used by the Exchange in MIFID Transaction Reporting when a Broker does not enter a Compliance Profile on an off-exchange trade for the user and when the user does not have an ICE Block Default assigned to his userID.

1.7 BULK IMPORT/EXPORT OF SHORT CODES AND PROFILES

Short Code and Profile data can be managed within a single company or across multiple companies.

1.7.1 SINGLE COMPANY IMPORT/EXPORT

1.7.1.1 EXPORT

Short Code data, Profile and User data can be exported by clicking the export icon on the tool bar.
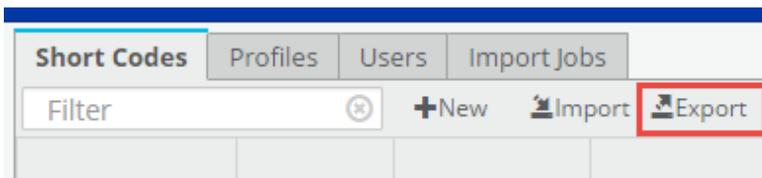
- The format of the export is a .csv file
- Short Code, Profile and Users data can both be exported
- When data is exported, any sensitive data (displayed in a "hashed" mode, i.e. ****1234 or ******) will be exported as hashed.
- The export is in the same format in which the import is expected (except sensitive data must be imported in its true state, i.e. not hashed)

1.7.1.2 IMPORT

Short Code data and Profile data can be imported via a .csv file by clicking the import icon on the tool bar.
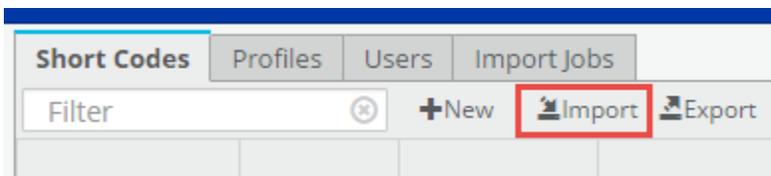
- The format of the import is a .csv file
- The template is the same format as the export
- Short Codes and Profile data can be imported
- All imports are add or update. So, if a Short Code is not found, it will be added. If an existing Short Code is found, it will be updated.
- Import validations will mirror those in the GUI
- Error Handling
    - When the file is imported, there will be GUI interaction to walk a user through any errors
    - Additions will be highlighted in green

- Updates will be highlighted in yellow
- Any imported rows that have errors will be noted with a red exclamation point and hovering over the exclamation point will detail the error
- Users can fix individual errors though the GUI or discard imported rows with errors
- There are buttons to 'Save all valid rows', 'Discard rows with errors', and 'Discard all rows'

Below is a sample import workflow for a non-MIFID Investment Firm (MIFID Investment Firms do not have to supply additional 'Person' data as detailed in earlier sections and the csv import/export will not include these fields for MIFID Investment Firms).

To start the import process, click the Import icon to open the Import dialogue.
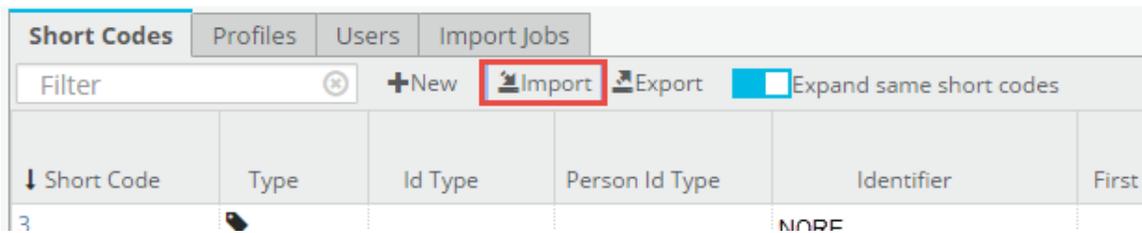
Click the 'Choose File' button to find your import .csv file on your network. After choosing the file, click the Open button.
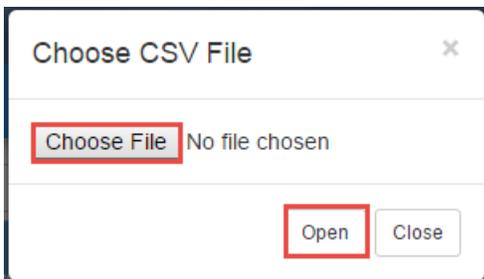
The .csv file imported contained the following data so the expected results were:

- Row 2 - Update with error because Identifier missing (also changed Person and Branch Country to Germany)

- Row 3 - Successful update of Identifier (ALGOCRUDE TO ALGOCRUDEUPDATE)
- Row 4 - Successful update of Identifier (ALGOSPREAD TO ALGOSPREADUPDATE)
- Row 5 - Successful addition of Execution within Firm Short Code '999'
- Row 6 - Successful addition of Investment within Firm Short Code '888'
- Row 7 - Addition with error because LEI is not 20 characters (LEITOOSHORT)
- Row 8 - Successful addition of Client Short Code '666'
- Row 9 - Addition with error because Date of Birth missing

After importing the file, the updated rows are shown with a yellow status, and the additions are shown with a green status.

Status	↓ Short Code	Type	Id Type	Person Id Type	Identifier	First Name	Last Name	DOB	P Country	B Country	Algo Tested
	3	🏷			NORE						
🔴	555	👤	PERSON	Passport	88888888	Scott	Russell		US		
(green)	666	👤	ENTITY		LEI99999999999999999						
🔴	777	👤	ENTITY		LEITOOSHORT						
(green)	888	$	ALGO		NEWALGO						✔
(green)	999	🏷	PERSON	National ID	12345678				US	US	
	1111	👤	ENTITY		MYLEI234342342343444						
	1123	$	PERSON	National ID	*****456b				GB	GB	
	1123	🏷	PERSON	National ID	*****456b				GB	GB	
1🔴	22343	🏷	PERSON	CONCAT					DE	DE	
	132323	👤	ENTITY		LEI11111111111111111						
	222222	$	PERSON	National ID	******963M				ES	GB	
3 (yellow)	777444	🏷	ALGO		ALGOSPREADSUPDATE						✔
	933455	👤	PERSON	Passport	*****6363	John	Doe	✔	US		
	89789789	👤	ENTITY		LEI12345678912345678						
2 (yellow)	563463456	$	ALGO		ALGOCRUDEUPDATE						✔
	563463456	🏷	ALGO		ALGOCRUDE						✔
	567889678	$	ALGO		ALGOCUSTOM						✔

Hovering over each exclamation point, the errors are detailed.

Date of Birth is missing:

Status	↓ Short Code	Type	Id Type	Person Id Type	Identifier	First Name	Last Name	DOB
	3	🏷			NORE			
🔴	555	👤	PERSON	Passport	88888888	Scott	Russell	☐
			ENTITY		LEI99999999999999999			
			ENTITY		LEITOOSHORT			

- For Person: 'Date of Birth' is a required field.

LEI123 is not 20 characters long:

Status	↓ Short Code	Type	Id Type	Person Id Type	Identifier
	3	🏷			NORE
	555	👤	PERSON	Passport	88888888
	666	👤	ENTITY		LEI99999999999999999
	777	👤	ENTITY		LEITOOSHORT
			ALGO		NEWALGO
			PERSON	National ID	12345678
			ENTITY		MYLEI234342342343444

• Legal Entity Identifier must be 20 alphanumeric characters.

Identifier is missing:

You can update each row directly in the GUI, or the icons on the tool bar allow a user to:

| H | ➔ Save all valid rows |

| ⊙ | ➔ Discard all rows with errors |

| ↻ | ➔ Discard all rows |

1.7.1.3 SAMPLE IMPORT FILES

Short Code .csv sample files for MiFID Investment firms:

https://community.theice.com/docs/DOC-22221

Short Code .csv sample files for non-MiFID Investment firms:

https://community.theice.com/docs/DOC-21660

Profile .csv sample file for MiFID/non-MiFID Investment firms:

https://community.theice.com/docs/DOC-22063

1.7.1 MULTI COMPANY IMPORT/EXPORT

1.7.1.4 MULTI COMPANY EXPORT
Profiles and Users across multiple entities can export all data by selecting Reports then Export.
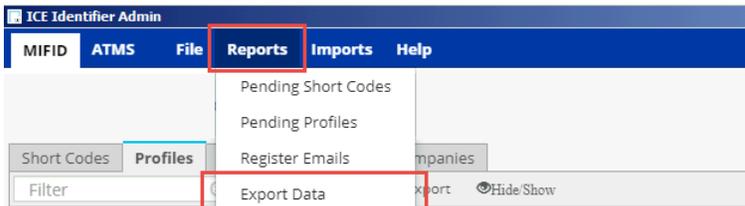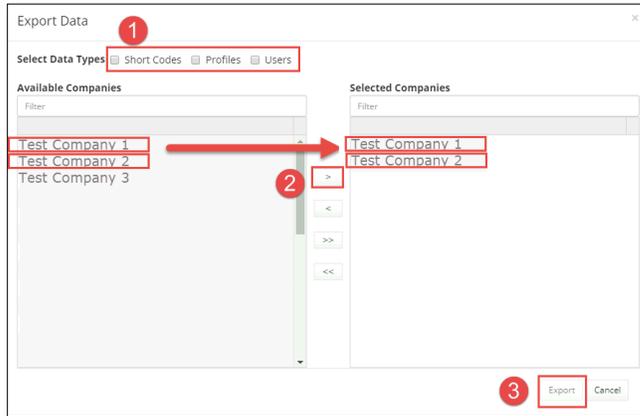
1. Select the applicable Data Types.

2. Select a subset of Available Companies then the single right arrow OR use the double right arrow to automatically select all Companies.

3. Select Export.

A separate csv file will be generated for each selected Data Type. Each file will include all data for that Data Type and the Selected Companies.

1.7.1.5 MULTI COMPANY IMPORT

Short Codes and Profiles can be imported for multiple companies in one file by using the existing Import templates and adding a column for Company ID.
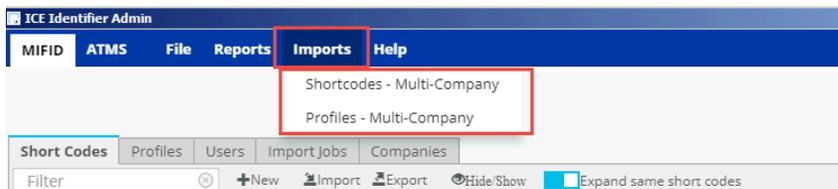
- The format of the import is a .csv file
- The import template is the same format as the multi company short code export and multi company profiles export.
- Short Codes and Profile data can be imported
- All imports are add or update. So, if a Short Code is not found, it will be added. If an existing Short Code is found, it will be updated.
- Import validations will mirror those in the GUI
- Ensure each file has unique Short Codes or Profiles.
  - Short Codes are unique by Short Code ID, Short Code Type and Company ID.
  - Profiles are unique by Profile ID and Company ID.
- Error Handling & Feedback
  - Once the file completes processing, the Import Jobs tab will be updated with Failed Counts and Rows Updates.
  - NOTE: The multi-company feedback file will only be available on the Import Tab for the company that was selected in the top right of the application at time of the import. Rows Updated and Failure Counts will include counts for the entire file.

1.7.2 IMPORT JOBS TAB

The Import Jobs tab will display the details of all imports via SFTP and files imported via the Multi Company import functionality. A separate User Guide and SFTP Request Form are available on ICE Community and referenced in the next section.

ICE Identifier Admin							
File	**Reports**	**Help**					
Short Codes	Profiles	Users	**Import Jobs**				
Filter		⊗					
↓ Import Time	Status		File	File Size	File Modified Time	Failed Count	Rows Updated
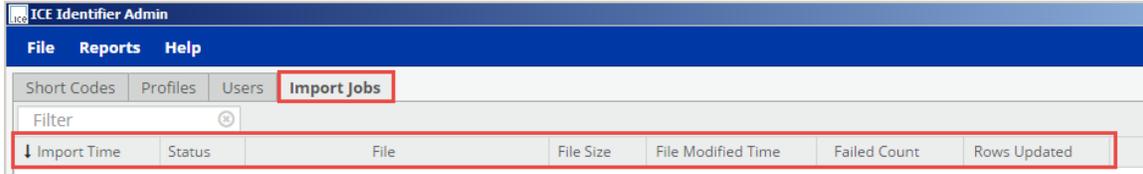
1.8 MFT SUPPORT FOR BULK IMPORT/EXPORT

IIA also supports the ability to upload the Short Code and Profile .csv files that can already be uploaded via the application to also be uploaded via MFT.

Firms that request MFT access for IIA will have a userID that will be defaulted in their company's root data folder or a root folder with access to individual company folders in the case where the userID is provisioned to multiple child companies.

Overview of MFT process
- Customer must submit comma delimited .csv files in the same format as if uploaded via IIA
- MFT will move files to be processed by IIA and immediately delete the file from the customer's folder
- IIA will process the files and generate .success and .error file receipts
- MFT will move .success and .failure files to the customer's respective /receipts folder
- Success files will contain all successful rows
- Error files will contain all errors for each failed row
- These files will be purged after 15 days

User Guide for IIA upload via MFT: *https://community.theice.com/docs/DOC-22222*

Request Form for IIA upload via MFT: *https://community.theice.com/docs/DOC-22223*

1.9 PENDING SHORT CODES AND PROFILES

All Short Codes and Profiles **must be registered prior to submitting on a Trade or Order**. Order and Trade submissions are validated against known unregistered Short Codes and Profiles. First time submissions of unregistered Short Codes and Profiles via the API will create Pending Short Codes and Profiles. All pending codes must be registered in the ICE Identifier Admin prior to the nightly *maintenance window* so that daily regulatory reporting can be completed.

1.9.1. PENDING SHORT CODE AND PROFILE REPORT

In order to assist companies in identifying their pending Short Codes and Profiles, under the Reports file menu, there will be a report for 'Pending Short Codes' and 'Pending Profiles'. **This report shows all pending data entered from the previous day at 1800 ET.**
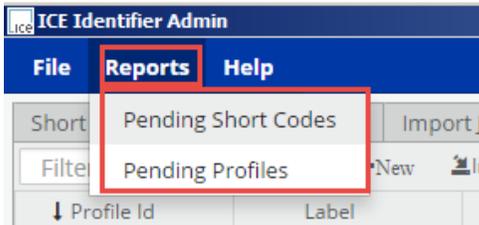
1.9.2. PENDING SHORT CODES AND PROFILES IN 'ADD' WINDOW

Additionally, when you add a new Short Code or Profile, the Short Code and Profile fields will be dropdowns that contain any Short Codes or Profiles submitted from the previous day at 1800 ET that have not yet been registered.
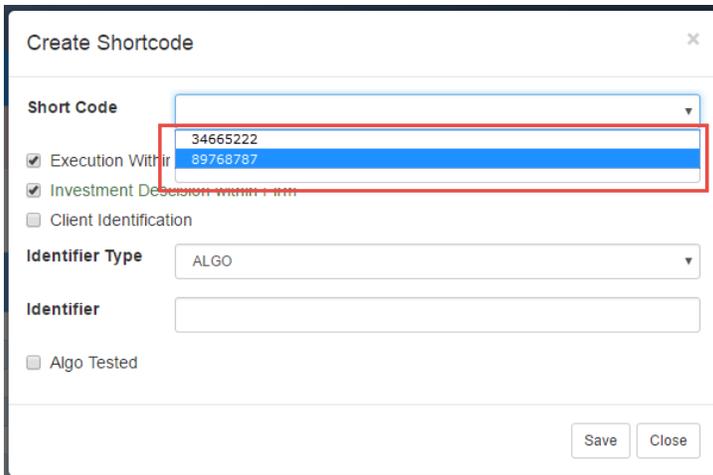
1.9.3. AUTOMATED EMAIL ALERTS OF PENDING SHORT CODES AND PROFILES

IIA users will have the ability to register email addresses that they want the pending Short Code and Profile email notifications to be sent to. The email will contain a summary of pending data for all child companies associated to that email address. That is, **the number of pending Profiles and the number of each type of Pending Shorts codes from the previous day at 1800 ET** will be included.

The email will be run six times daily, Monday through Friday:

- 0200 ET
- 0700 ET
- 1200 ET
- 1700 ET
- 1800 ET
- 2100 ET

Sample email:

1.10 PROFILE LIMITS PER COMPANY

Each company will be limited to creating no more than 10,000 Profiles. If you feel that your company needs more Profiles, please reach out to the ICE Help Desk so we can discuss your specific situation.

1.11 SHORT CODE/NEW ORDER ATTRIBUTE SCENARIOS

1.11.1 MEMBER

All Exchange Members are required to set up Short Codes for their Algos, Traders and Clients within IIA. Clients of Exchange Members are identified by LEI if a legal entity or a Personal Identifier if an individual.

Member executing non-DEA Client business
- DEA flag = N
- Trading capacity = AOTC
- Liquidity Provision flag = Y/N
- Commodity Derivatives Indicator = Y/N
- Execution decision short code = Algo code or Trader info
- Investment decision short code = (blank) if client made decision/Algo code or Trader info
- Client short code = Client LEI

Member executing non-DEA Client business where the Member makes no decisions but simply executes the Client's instructions
- DEA flag = N
- Trading capacity = AOTC
- Liquidity Provision flag = Y/N
- Commodity Derivatives Indicator = Y/N
- Execution within Firm short code = 3 "NORE"
- Investment Decision short code = blank
- Client short code = Client LEI

Member executing House proprietary business into the Member entity

- DEA flag = N
- Trading capacity = DEAL
- Liquidity Provision flag = Y/N
- Commodity Derivatives Indicator = Y/N
- Execution within Firm short code = Algo code or Trader info
- Investment Decision short code = Algo code or Trader info
- Client short code = LEI of Member (exchange will default so not necessary to supply)

Member executing House proprietary business into an affiliate entity

- DEA flag = N
- Trading capacity = AOTC
- Liquidity Provision flag = Y/N
- Commodity Derivatives Indicator = Y/N
- Execution within Firm short code = Algo code or Trader info for the Member not the affiliate
- Investment Decision short code = Algo code or Trader info for the Member not the affiliate
- Client short code = LEI of the affiliate

1.11.2 NON-MEMBER

Non-Members (working together with their Member) will have minimal setup within IIA.

- Non-Members/DEA users provide the order attributes from the perspective of their Member
- Non-Members/DEA users only need to setup one Short Code for 'Client Identification Code' that contains their company's LEI (no trader personal information is required)
- The Short Code for 'Execution within Firm' is always the reserved Short Code 3 (which represents 'NORE')
- The Short Code for 'Investment Decision within Firm' is not applicable

Therefore, Non-Members have one scenario for the additional MIFID data needed on an order:

- DEA flag = Y
- Trading capacity = AOTC
- Liquidity Provision flag = Y/N
- Commodity Derivatives Indicator = Y/N
- Execution within Firm (EwF) short code = NORE (reserved Short Code already created for each company)
- Investment Decision (ID) short code = (blank)
- Client short code = LEI of the DEA user

When DEA = Y and Trading Capacity = AOTC then EwF must be reserved short code '3'.

1.12 DATA SNAPSHOT FOR ORDER RECORD KEEPING AND TRANSACTION REPORTING

The underlying data behind a Short Code or the Profile ID can be changed throughout the day; however, the underlying data will be "snapshot" at the start of the nightly *maintenance window*, and all order and trade records that reference those Short Codes and Profiles will reference that "snapshot" for the day's MiFID reporting obligations.

1.13 CLEARING FIRM ACCESS

When a Clearing Firm user logs into IIA, he can use the Company dropdown in the upper right-hand corner to switch the view to:
- o Companies that the Clearing Firm has created
- o Companies that are Customers of the Clearing Firm (i.e. Clearing Firm has issued a system managed Clearing Account to the company or the Clearing Firm is the Default Clearer for the company)

Customers appear first in alphabetical order and are pre-pended with an * asterisk. Companies that have been created by the Clearing Firm appear after the Customers, also in alphabetical order.

The access of the Clearing Firm userID (view or edit) applies the same to all Companies in the dropdown. Clearing Firm users will only be able to view Short Codes entered directly by the Companies or entered by their Clearing Firm. They will not be able to view Short Codes entered by other Clearing Firms.

1.14 IMPLICATIONS TO TRADING

1.14.1. WEBICE

In WebICE, a new dropdown, Compliance Profile, has been added to the Order Entry screens. All Profiles associated to a userID via IIA as previously described in this document will be displayed in this dropdown. In addition, the user can enter the seven MIFID related data points directly clicking the '+' icon next to the Compliance Profile dropdown which opens a new window. Users can save 'named combinations' of the seven MIFID data points, and these 'named combinations' will also appear in the Compliance Profile dropdown along with Profiles from IIA.

All Short Codes and Profiles must be registered in IIA prior trading.

Users cannot enter an order in a MiFID eligible market unless they select a valid Profile from IIA, a 'named combination' or enter the seven data points directly.

To walk through the impact, below is a screenshot of the new Compliance Profile dropdown of a userID that has three Profiles assigned to his userID from IIA.
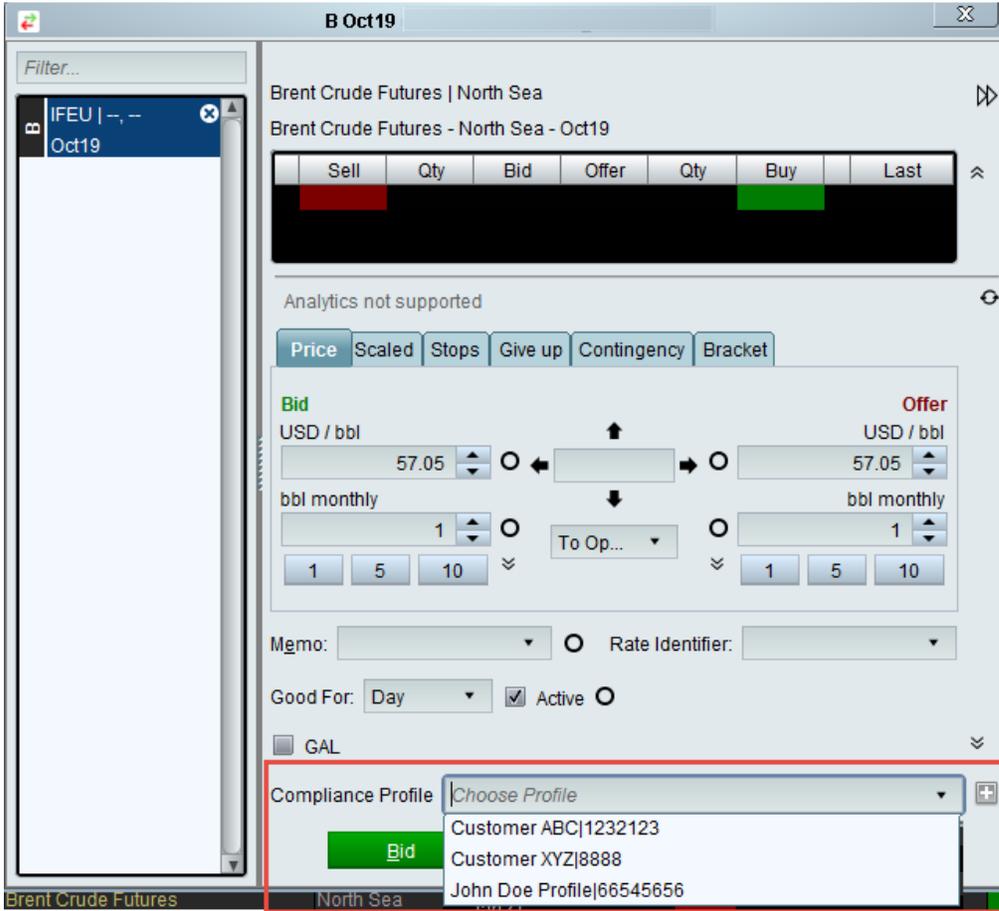
The user can click the **'+'** icon to deploy the 'Create MIFID Profile' window to enter the seven MIFID data attributes directly as well.
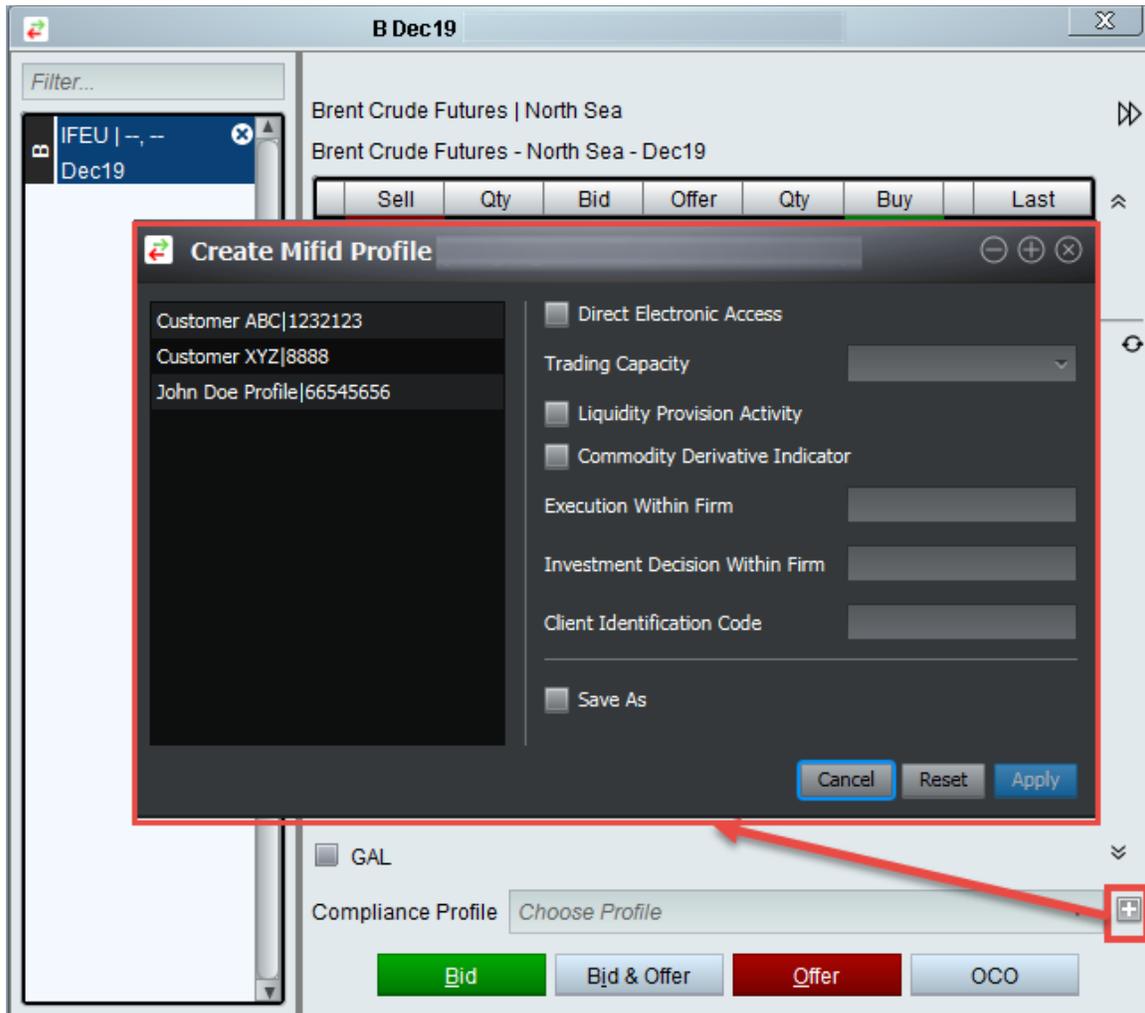
Once the user has entered the data, the user has the option to 'name' the set of attributes using the 'Save As' checkbox. In the example below, the user has entered 'Customer 4444' as the name.
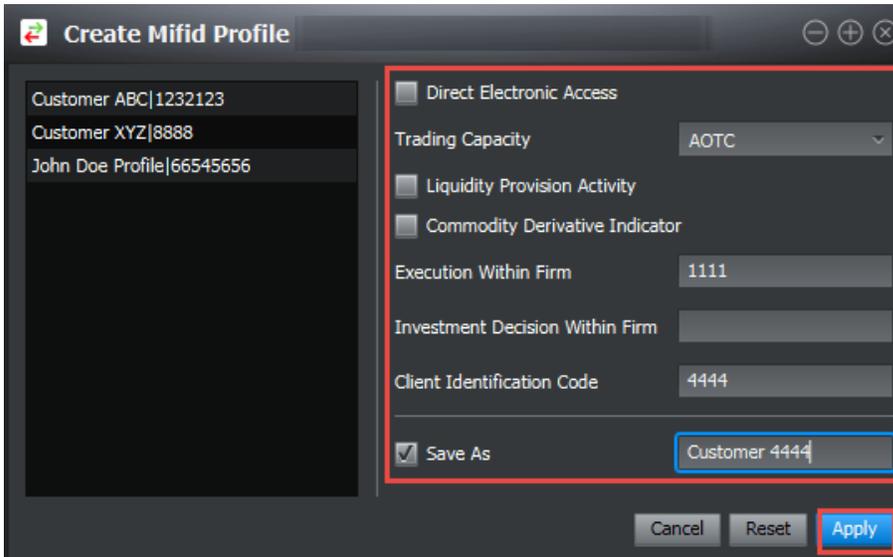
Clicking apply will save the 'named combination' and return the user to the Order Entry screen with 'Customer 4444' selected as the Compliance Profile. *Please note that if the combination is not named/saved, it will simply appear as a concatenated string of data in the Compliance Profile dropdown (e.g. AOTC | 1111 | 0 | 4444).*
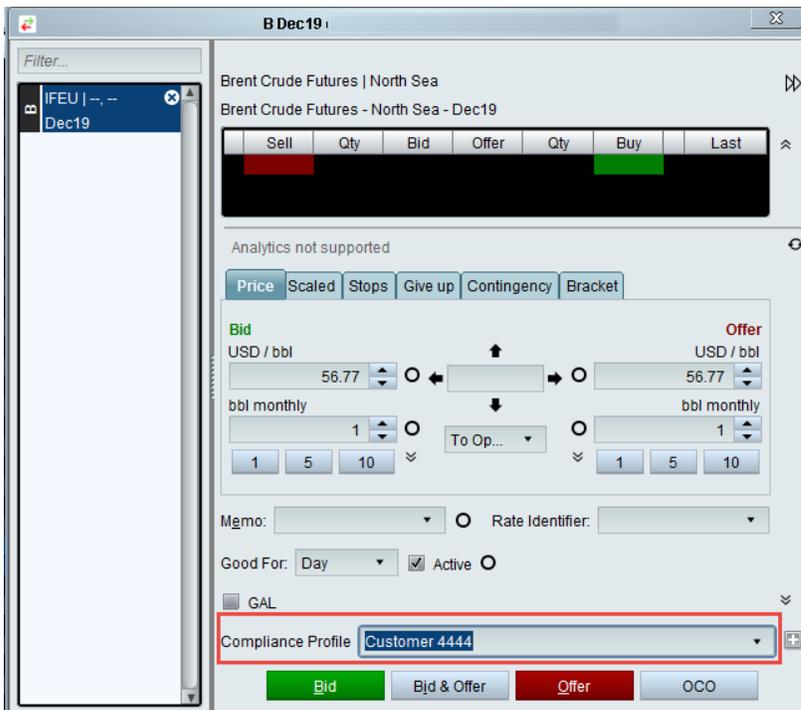
Once the data points have been given a 'name', the name will appear on the left-hand side of the 'Create MIFID Profile' window and can be edited.

Please note that Profiles created via IIA cannot be edited. They will not have a 'x' button to delete nor can any of the data points be changed. However, the user can select an IIA Profile to see the seven individual data points (and the user could even use that data as a template to save another 'named combination' if so desired).
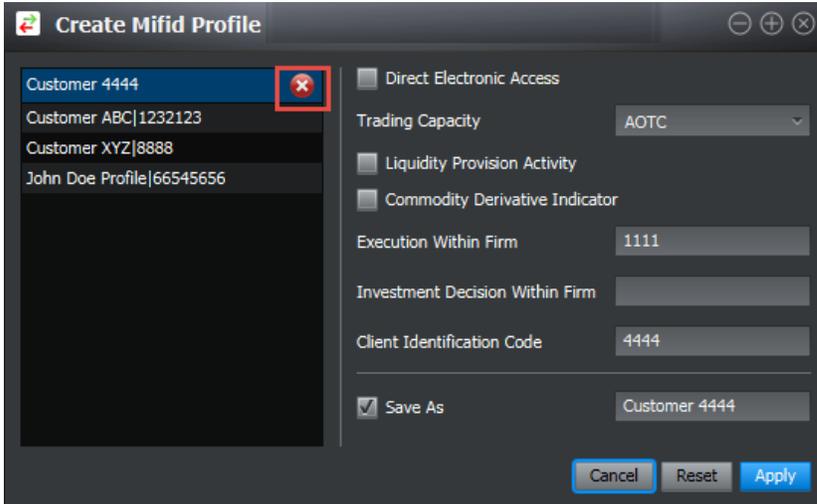
All 'named combinations' will appear in the Compliance Profile dropdown on the webICE Order Entry windows along with the Profiles created in IIA. 'Named combinations' appear first followed by Profiles created in IIA.
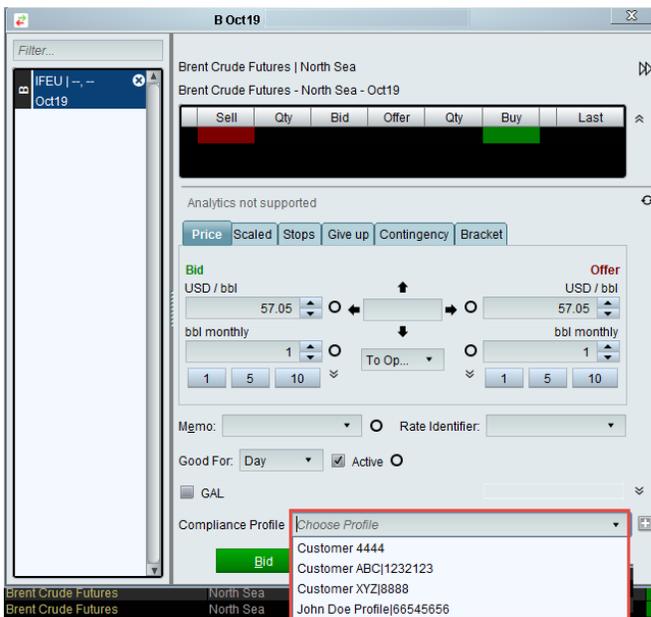
A default Profile or a default 'named combination' can be assigned per Portfolio by right-clicking the Portfolio, selecting 'Select Compliance Profiles' and then choosing a value from the 'Default' dropdown.

The 'Create MIFID Profile' window can also be deployed from the Portfolio by clicking the '+' button to add/edit/delete 'named combinations'.
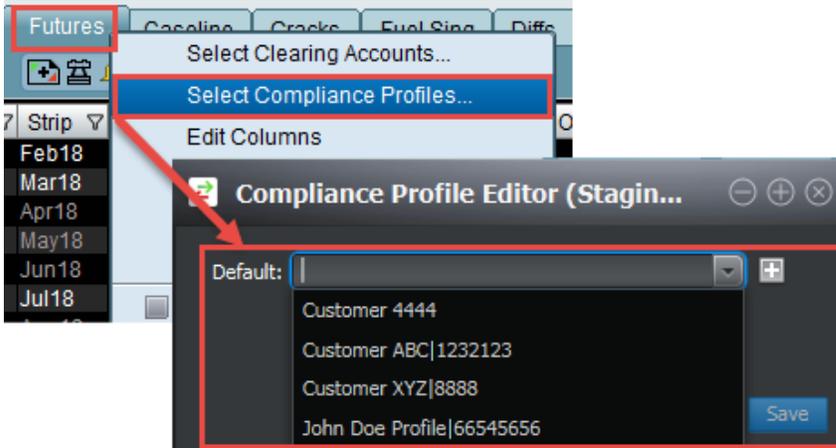
Once a Portfolio default is save, that Profile will automatically appear as selected in the new 'Compliance Profile' dropdown, but the user can always choose a different Profile (or enter new data directly by clicking the '+" icon).

Additionally, a 'Compliance Profile' column has been added to the Orders and Deals tabs within WebICE. Compliance Profiles, 'named combinations' or new data altogether can be updated on orders or trades by selecting a new value or selecting 'New' and entering new data from the 'Create MIFID Profile' window deployed (same as from the Order Entry screens and the Profile default).

Orders tab view of Compliance Profile
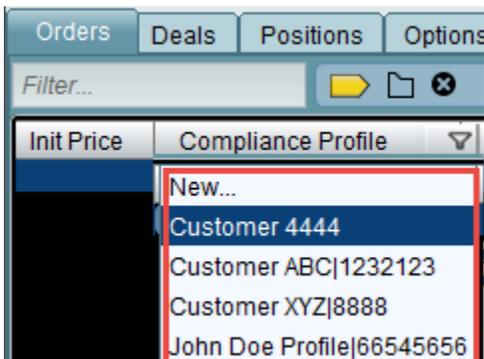
Deals tab view of Compliance Profile
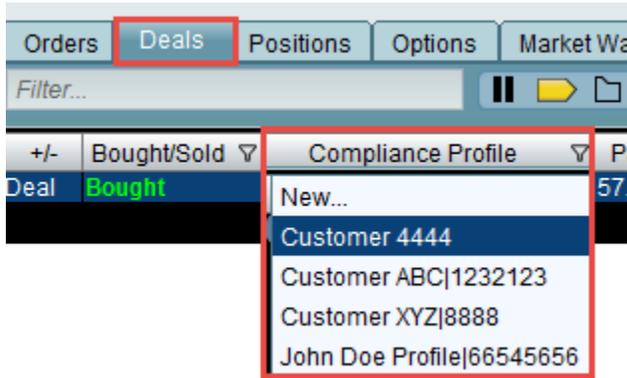
1.14.2. FIX OS

Tag#	Tag Name	Validation Condition	Valid Values
9700	DirectElectronicAccess	Required when 9707 is not provided	1- True / 0-False
9701	TradingCapacity	Required when 9707 is not provided	0-DEAL/ 1-MTCH/2-AOTC
9702	LiquidityProvision	Required when 9707 is not provided	1- True / 0-False
9703	CommodityDerivIndicator	Optional	1- True / 0-False
9704	InvestmentDecision	Required when 9707 is not provided & if 9701(Trading Capacity) = 0	8-byte Integer (Short code from the ICE Identifier Admin); Industry reserved Short Codes 1 (AGGR), 2 (PNAL) and 3 (NORE) are not applicable so should not be sent
9705	ExecutionDecision	Required when 9707 is not provided	8-byte Integer (Short code from the ICE Identifier Admin); Industry reserved Short Codes 1 (AGGR) and 2 (PNAL) are not applicable so should not be sent; Short Code 3 (NORE) IS supported

9706	ClientIDCode	Required when 9707 is not provided & if 9701(Trading Capacity) = '1' or '2'	8-byte Integer (Short code from the ICE Identifier Admin); Industry reserved Short Codes 1 (AGGR) and 2 (PNAL) are supported; Short Code 3 (NORE) is not applicable and should not be sent
9707	MiFIDID	Required if Tags 9700-9706 are not present	8 byte integer (MiFID Profile ID from the ICE Identifier Admin)

FIX users can send the seven individual MiFID values (tag 9700-9706) on order and mass quote messages, or FIX users can send the single value (tag 9707) value on order and mass quote messages. Tag 9707 is the Profile described in previous sections in this document that represents a predefined combination of the seven MiFID values.

In addition to sending data in on orders, FIX users can set default MiFID values on Trader Logon (these values will be used for all orders for the session).

The FIX messages below require the new tags when the market is 'MiFID Eligible'. If the validations are not met, the order will be rejected.

- 35 = D, New Order Single
- 35 = G, Cancel Replace Order (Values should be updated on the order in case of a change)
- 35 = J, Allocation
- 35 = i, Mass Quote (One set of values for the whole Quote)
- 35 = s, Crossing Order (Values should be present for both sides)
- 35 = CG or UCG, Trader Login (Default values for the trader)

Other key FIX OS points:

- If the market is not 'MiFID Eligible', there will be no MiFID validations performed, and the values will not be echoed out on FIX TC or FIX POF
- Tags 9700-9706 are not needed on order messages if defaults are provided at Logon
- MiFID tags on the order will take precedence over the default values sent at Logon
- If a Trader provides all or a subset of the seven individual tags (9700-9706) and a MiFID ID (9707), the MiFID ID (9707) will take precedence

1.14.3 ICE BLOCK

In ICE Block, a new dropdown, 'Compliance Profile', has been added to the trade ticket. Once a Company and User have been selected, the Profiles associated to that userID from IIA will be displayed (as previously described in this document). In addition to the Compliance Profile dropdown, clicking the + sign next to the Compliance Profile opens a window that will allow the user to enter the seven data points directly.

The ICE Block user may optionally select a Profile or enter the seven data points when entering an off-exchange trade. *Please note if the ICE Block user is entering an RFC, the Profile or seven data points will be required because the RFC generates an order which the Exchange is responsible for reporting.*

The Compliance Profile dropdown is highlighted below:
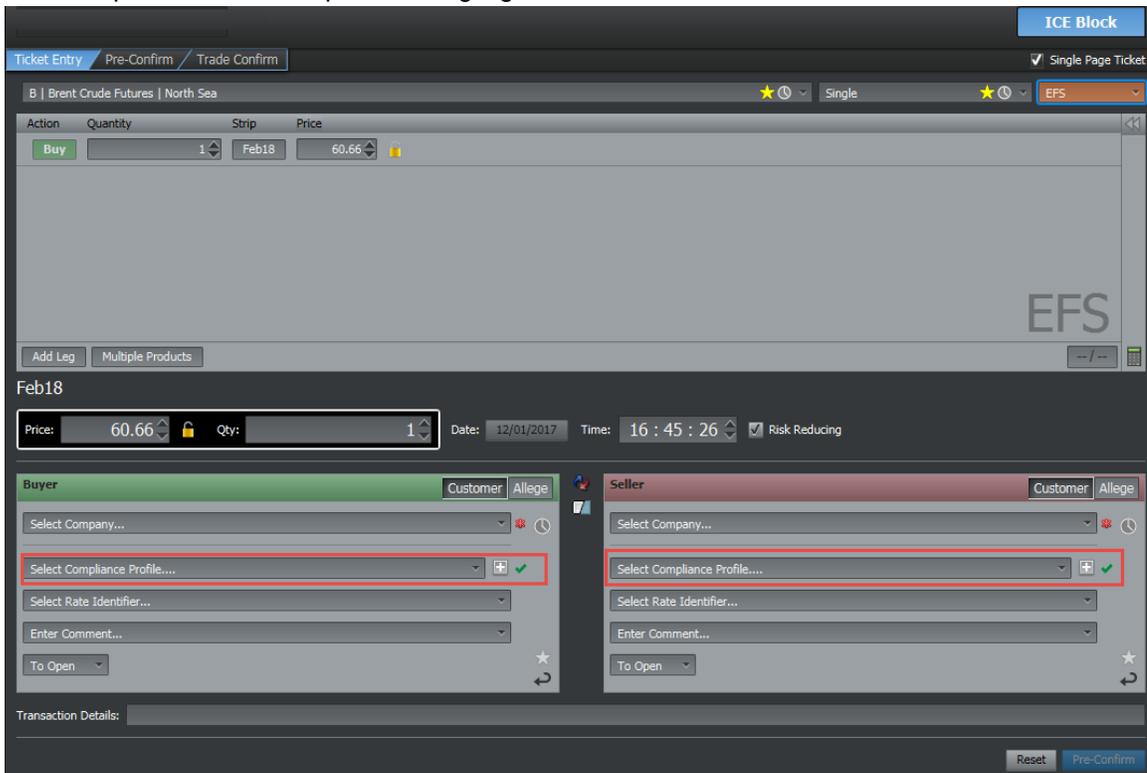
The 'Create MIFID Profile' to enter the seven data points directly is shown below. It is accessed by clicking the + next to the Compliance Profile dropdown. It functions exactly like the same window in WebICE as described previously:
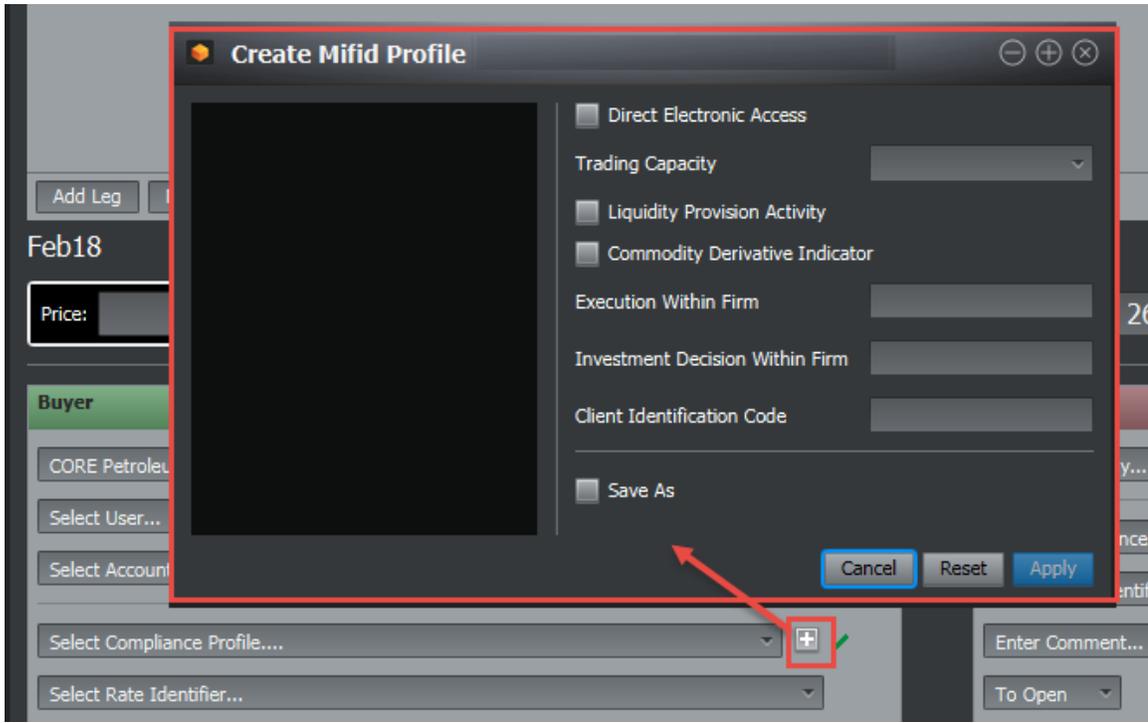
1.14.4 TRADE REGISTRATION API (TRAPI)

TRAPI Clients can optionally provide the MiFID data on trade registration. However, if they do provide the MiFID data, only a valid Profile ID that has been created and associated to the UserID in IIA will be accepted. If an invalid Profile ID is supplied, the trade will be rejected.

1.14.5 ACE

A 'Compliance Profile' column has been added to the Orders and Deals tabs within ACE.

Orders - Compliance Profile

Clicking on the link in the Compliance Profile column for a specific order will return the seven MiFID data points associated to the order
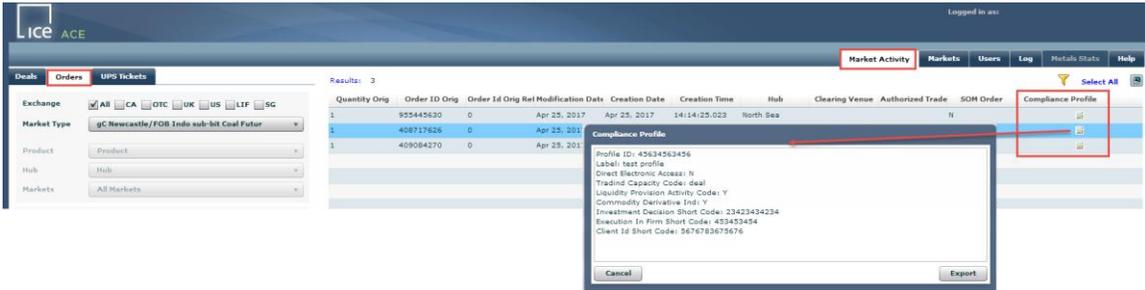
Deals - Compliance Profile

Clicking on the link in the Orig or Taker Compliance Profile columns for a specific deal will return the seven MiFID data points associated to the deal. There is both an "orig" and "taker" column for each side of the deal, and as with other data, the user will only see data from his side of the deal.
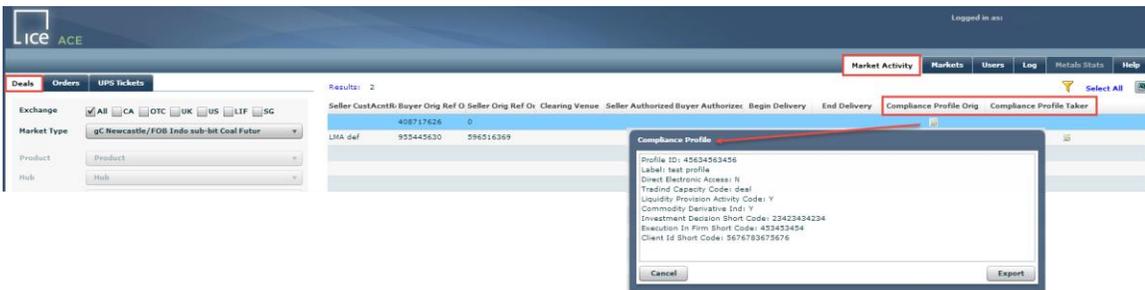
Deals tab - Pending Short Code/Profiles query

Additionally, on the Deals tab, the user can select the 'Show Deals with Pending Short Codes and Profiles Only' checkbox to view trades with Pending Short Codes and Profiles.

Pending Short Codes and Profiles are those that have been submitted on orders but not yet registered in IIA. Pending Short Codes and Profiles need to be registered in IIA by the end of the day for reporting purposes.

When using this option, the user should also add the new eight columns to view what the actual Pending Data's values are:

- TakerPendingClShortCode (Client Short Code)
- TakerPendingEFShortCode (Execution Within Firm Short Code)
- TakerPendingIDMShortCode (Investment Decision Maker Short Code)
- TakerPendingProfileID (Profile ID)
- OrigPendingClShortCode (Client Short Code)
- OrigPendingEFShortCode (Execution Within Firm Short Code)
- OrigPendingIDMShortCode (Investment Decision Maker Short Code)
- OrigPendingProfileID (Profile ID)
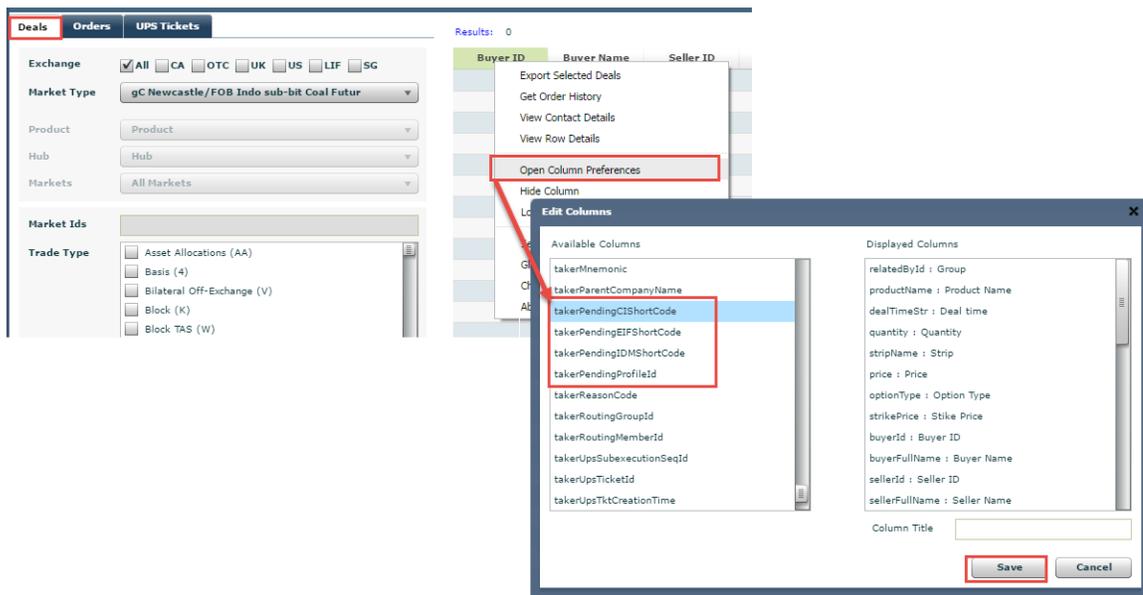
1.15.   COMPANY PORTAL

The Company Portal is available in the ICE Identifier Admin application for all trading member companies. The Company Portal includes a view of the existing company level data for all trading member entities to verify and request updates for the attributes related to MiFID reporting: legal entity identifier (LEI) and the MiFID Investment Firm status. This view will ensure accuracy for the Exchange to fulfill its own reporting obligations.

1.15.1. USER ACCESS

The Company Portal is available in IIA under the *Companies* tab. All existing trading member user ids that can access IIA will have access to view the new tab. Updating information on this tab requires additional access. Please contact *Compliance-Europe-MiFIDReporting@TheIce.com* to request access.

Note: Clearing Firm users will not have access to the Companies tab.

1.15.2. COMPANY PORTAL GLOSSARY

1. *Companies Dropdown*: All Trading Member companies will be listed in the tab. Additional filtering within entities is not required. The companies drop down is disabled and defaults to display 'All Companies'.
2. *Filter and Export*: Company names and LEIs can be filtered by typing all or part of the value in the filter entry box. Exports are available and will include all available Companies (not filtered).
3. *Company*: The Company column lists all Trading Member companies registered to trade within MiFID markets.
4. *Existing LEI & Existing MiFID Investment Firm Status:* Displays the existing values for the LEI and Investment Firm status on file with ICE Admin. This is the information that requires verification.
5. *Action:* View only users will only have access to the Audit Logs (▤) for each company. Users with write access will have options to Verify (☑) or Request Update (☑).
6. *Verification Status:* Indicates the current status of the Existing data.
   a. *Unverified:* Associated Company requires action. If the Existing data is accurate then Verify (☑). If the Existing data is incorrect then Request Update (☑).
   b. *Pending Approval:* Updates require ICE Compliance approval. This status will show after submitting an Update Request.
   c. *Rejected:* ICE Compliance has rejected the update request. User should submit an updated request or verify the existing data.
   d. *Completed:* Indicates the existing data has been verified or the requested update has been approved and MiFID reports will reflect the new information listed in Existing data as of the date in the Completed Timestamp field.
7. *Requested Data:* Data pending approval from the most recent request.
8. *Completed Timestamp (GMT)*: Indicates the time the Existing data was Verified or the Requested Update was applied to the Company.

1.15.3. VERIFYING EXISTING DATA

This section outlines the steps for verifying the existing MiFID reporting data. Use these steps if the MiFID reporting data (LEI & MiFID Investment Firm status) associated with the company is correct.

Steps:

1. Select the Verify Existing Data icon (☑) for a Company with Verification Status *Unverified*
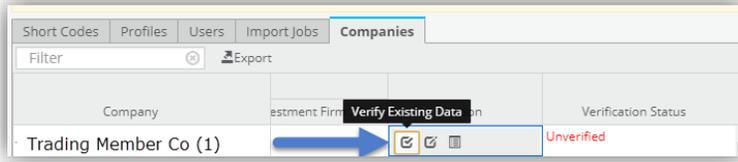
2. Review and confirm the Existing LEI and MiFID Firm Investment status values are correct in the Verify Existing Data window.

Note: If the MiFID data must be updated the Update option can be used from the Verify Existing Data window to launch the Update Existing Data window (detailed in next section).

3. Select Verify.

Once verified, the status will automatically update to *Completed*. The verification is now complete for this company.
Repeat steps 1-3 for additional companies in *Unverified* status that do not require an update.

2. OVERVIEW OF ERROR MGMT

ICE Identifier Admin (IIA) now supports correcting MiFID related errors to Orders and Transactions.   The Errors Sets have previously been distributed to Trading Members via MFT in csv files. The new Error Management tab captures the same details as the MFT files with the added ability to define Short Codes and Profiles or remap the Error Set to a new Profile or Compliance Key.

Members can now view their errors on-line and make the necessary corrections on-line. The Exchange validates and processes the corrections overnight and if successful the error set will not be present on the error screen the following day.

3. ACCESSING ERROR MANAGEMENT

Users that currently have access to IIA with the ability to create short codes (i.e. write access) will automatically have access to the new Error Management tab.   Clearers will have access to the Error Sets where the Clearer is listed on the Error Set for the Trading Company.

4. PROCESSING CORRECTIONS

Corrections can be applied throughout the business day. All Error Sets in 'Correction Pending' status at 5:50 PM ET will be processed during the daily maintenance window. When the maintenance window starts, the Error Management tab will be closed for submitting corrections and show the following banner:

Short Codes	Profiles	Users	Import Jobs	Companies	Error Management

> ⛔ 2021-07-01: Error Sets in 'Correction Pending' status are being validated. Please check back at the start of the next business day for updated Error Sets.
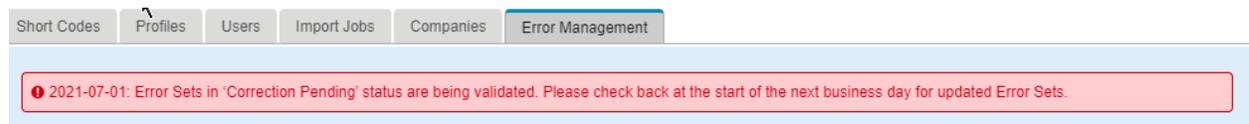
The new list of Error Sets (if applicable) will be available by 2:00 AM ET for the start of business in Europe.

5. SUBMITTING CORRECTIONS

There are two ways to correct Error Sets:
1) *Define short codes* and/or profiles currently associated to the Error Set(s),
2) Update the Error Set(s) to a *valid Profile or previously used Compliance Key (CKey)*.

1) DEFINING SHORT CODES OR PROFILES

To define the incomplete codes, simply select the codes within the Error Set that are in red text then fill in the correct information in the Define Short Code (or Define Profile) window. See IIA user guide for setting up short codes and profiles for complete details.
Once all undefined codes for an Error Set have been defined, the Correction Type will automatically update to 'Defined Pending Codes' with Correction Status updated to 'Correction Pending'.

Note: if the newly defined Short Codes or Profile ID are also associated to other Error Sets, the other Error Sets will also be processed with this correction.

2) UPDATE PROFILE OR CKEY

Mapping an Error Set to a different Profile or Ckey should be used if the originally submitted Short Codes or Profile ID currently associated to the Error Set were incorrectly submitted or if no MiFID data was submitted at all.

> **Tip**: Companies that typically submit the 7 MiFID data points on orders or transactions can search the Compliance Key (Ckey) dropdowns for Short Codes or the Ckey value (if known) and select the applicable MiFID Configuration.
>
> Companies that typically submit Profile IDs with orders or transactions can use the Profile dropdowns to correct the Error Sets.

Corrections can be made line by line or in bulk. Each Error Set allows the user to map either a new Profile or a new Ckey.

3) BULK UPDATES

Bulk updates can also be made by filtering on any column, displaying the Error Sets that should have the same correction, then using the Bulk Update Options at the top of the screen.

Compliance Key Dropdown: The available data in the Compliance Key dropdown consists of valid Raw Data (7 MiFID data points) previously submitted on Orders or Transactions.
Profile ID Dropdown: To map an Error Set to a different Profile, search for and select the correct Profile in the dropdown associated to the Error Set in the Update Profile column.
Clear All will clear all Profiles or Ckeys applied to the **visible (non filtered)** error sets.

4) DAILY CORRECTION COUNTS

The error counts in the top right of the tab capture the counts of Error Sets and sum of Error Count by Correction Status.
In the below example, 15 Error Sets will attempt to be Corrected during the next maintenance window. and those 15 Error Sets account for 1,752 Orders or Transactions.
338 Error Sets require action (by mapping a profile, ckey or defining the codes). The 338 Error Sets account for 105,383 Orders or Transactions.

Correction counts are reset daily and only account for the Error Sets shown on the Error Management tab for that specific day. Historical correction stats are not available.

6. ERROR MANAGEMENT COLUMNS

Columns on the Error Management tab can be collapsed, filtered, hidden and repositioned.

> **Tip**: Use the column filters to display Error Sets that require the same correction then use Bulk Update.
> Example 1, if all Error Sets for Trader John Smith should be mapped to Profile ID 4.
> Filter for John Smith on the Trader column. Select Profile ID 4 in the Bulk update Profile dropdown then select Apply All. Then clear the Trader column filter.
> Example 2: After applying corrections, filter for 'Not Corrected' in Correction Type column to only display Error Sets that still require action.
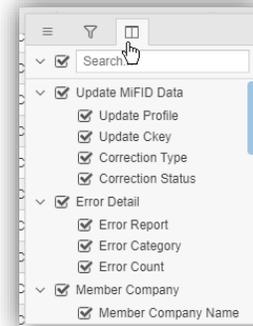
To expand the field categories, select the arrow next to the category heading.

To update the column display settings, select the three lines on the column heading.
To hide or display certain columns, select the column icon then check or uncheck the columns to display, hide. By default all columns will be displayed.

Columns definitions:

Category	Field	Definition
Update MiFID Data	Update Profile	Lists valid Profiles to correct Error Set. This field is used to select a Profile to map to the Error Set. The dropdown list is sourced from Profiles tab.
	Update Ckey	Lists valid MiFID configurations created from raw data submissions to correct Error Sets. Sourced from valid raw data submissions previously submitted on an Order or Transaction.
	Correction Type	Indicates the type of correction that will be attempted. Values: Not Corrected, Profile Corrected, Raw Data Corrected, Defined Pending Codes.
	Correction Status	Indicates the status of the Error Set. Once the Error Set is in Correction Pending status, the correction will be processed at the end of the business day. If the correction is successful, the Error Set will be removed the following day. If the correction is not successful then the Error Set will be available the following business day. Values: Correction Pending, Action Required.
Error Detail	Error Report	Indicates the type of Error. The original orders in error status are aggregated with other orders that share the same values in the Error Set Details category. Transactions are listed individually. Values: Orders, Transactions
	Error Category	Indicates the error that caused the orders or transaction in the Error Set to fail. See Error Category section for full list of categories.
	Error Count	Indicates the count of Orders included in the Error Set. Transaction Error Sets will only apply to the single Transaction associated to the Error Set.
	Member Company Name	The Trading Member associated to the Error Set.

Category	Field	Definition
Member Company	Mnemonic	The mnemonic of the Trading Member associated to the Error Set.
	MifID Investment Firm	The MiFID Investment Firm status of the Trading Member associated to the Error Set.
	Clearing Firm Name	The Clearing Firm name associated to the Error Set.
Order & Deal Data	Market ID	The Market ID of the Order(s) or Transaction associated to the Error Set.
	Sample Order ID	For Order Report Types, the sample order ID will be one of the orders included in the Error Sets. For Transactions this ID will be the Deal ID.
	Min Create Date	The date of the first Order included in the Error Set. Transactions will have the same Min / Max Create Dates representing the trade date of the transaction.
	Max Create Date	The date of the last Order included in the Error Set. Transaction will have the same Min / Max Create Dates representing the trade date of the transaction.
Error Set Details	Account ID	The Clearing Account (if applicable) associated with the Error Set. The Order(s) within the Error Set have the same Clearing Account value.
	Cust Account Ref	The Cust Account Ref submitted on the Order(s) or Transaction included in the Error Set. All Orders within the Error Set have the same Cust Account Ref.
	Venue	The MIC / venue of the Market for the orders or Transaction associated to the Error Set. All Orders within the Error Set have the same Venue.
	Trader ID	The Trader ID used to submit the Orders or Transaction included in the Error Set. All Orders within the Error Set have the same Trader ID.
	Trader	The Traders' name associated to the Trader ID submitted on the Orders or Transaction included in the Error Set. All Orders within the Error Set have the same Trader.
	Authrorized Trader ID	The ATID submitted on the Orders or Tranction included in the Error Set. All Orders within the Error Set have the same ATID.
	Authorized Member ID	The ATID of the Trading Member submitted on the Orders or Tranction included in the Error Set. All Orders within the Error Set have the same ATID.
	Compliance Key	The Compliance Key associated to the Error Set. If this field is blank, then no MiFID data was submitted for the Error Set.
MiFID Configuration Details	Invt	Investment Decision Maker Short Code.
	Exec	Execution Within Firm Short Code.
	Client	Client ID Short Code.
	DEA	Direct Electronic Access
	Trd Cap	Trading Capacity
	LPI	Liquidity Provider Indicator
	CDI	Commoditiy Derivative Indicator.
	Profile ID	The Profile ID submitted on the orders or Transaction. If this field is blank and the other MiFID Configuration Details are populated, then the 7 MiFID data points were submitted on Orders or Transaction associated to the Error Set.

7. ERROR CATEGORIES

The below table identifies the Error Categories listed for each error set the expected resolution for correcting the error set. Note: any Error Set can be corrected by remapping the Error Set to a updated Profile or Ckey.

Error Category	Resolution
BLANK INVSTMT_DCSN_IN_FIRM AND INCORRECT DIRECT_ELECTRONIC_ACCESS FLAG ;BLANK EXECUTION_IN_FIRM ;	Define the Profile associated to the Error Set. If the Profile ID was not submitted, then use the Profile tab to identify the correct Profile (create on if it does not exist) and map the corret profile to the Error Set using the Update Profile column.
CLIENT_ID_SHORT_CODE is not defined	Define the Client ID short code associated to Error Set.
CLIENT_ID_SHORT_CODE is not defined|EXECUTION_IN_FIRM_SHORT_CODE is not defined	Define the Client ID and Execution withiin Firm short codes associated to Error Set.
EXECUTION_IN_FIRM_SHORT_CODE is not defined	Define the Execution within Firm short code associated to Error Set.
INVESTMENT_DECISION_SHORT_CODE is not defined	Define the Investment Decision Maker Short Code associated to Error Set.
INVESTMENT_DECISION_SHORT_CODE is not defined|EXECUTION_IN_FIRM_SHORT_CODE is not defined	Define the Investment Decision Maker and Execution withiin Firm short codes associated to Error Set.
No Profile ID available. Please define Profile in IIA	Define the Profile associated to the Error Set. If the Profile ID was not submitted, then use the Profile tab to identify the correct Profile (create on if it does not exist) and map the corret profile to the Error Set using the Update Profile column.
BLANK EXEC_WITHIN_FIRM ; BLANK EXEC_WITHIN_FIRM_TYPE_CD ; CON-570 :INVALID INSTMT_DECSN_WTHN_FIRM_ID ;	Define the Profile associated to the Error Set. If the Profile ID was not submitted, then use the Profile tab to identify the correct Profile (create on if it does not exist) and map the corret profile to the Error Set using the Update Profile column.
CLIENT_ID_SHORT_CODE includes an invalid LEI	Correct the LEI associated the Client ID Short Code.
INVESTMENT_DECISION_SHORT_CODE is not defined	Define the Investment Decision Maker Short Code associated to Error Set.
Invalid Person ID Type	Applicable to Transaction Error Reports only. Confirm the set up of the short codes associated to the Error Set.
Missing Branch Country|Invalid Person ID Type	Applicable to Transaction Error Reports only. Confirm the set up of the short codes associated to the Error Set.
No Profile ID available. Please defined Profile in IIA	Define the Profile associated to the Error Set. If the Profile ID was not submitted, then use the Profile tab to identify the correct Profile (create on if it does not exist) and map the corret profile to the Error Set using the Update Profile column.
RULE-025 :BLANK BUYER_ID ;BLANK BUYER_ID_TYPE_CD ;	Define the Client ID short code associated to Error Set.