

# Mapping Firm Code File Specifications

*Version 1.5*

*Confidential*





# TABLE OF CONTENTS

---

History of Changes.....	4
1 Statement of Non-Disclosure.....	5
2 Introduction.....	6
3 Specifications of the format of the mapping file.....	7
3.1 Format of the Data section.....	8
3.1.1 Format of the FT_C_MRK_CLIENT class.....	8
3.1.2 Format of the FT_C_FIRM_CODE_DEFINITION class.....	9
3.2 Examples.....	9
3.2.1 FT_C_MRK_CLIENT Class.....	10
3.2.2 FT_C_FIRM_CODE_DEFINITION Class.....	10
4 File Mapping Management.....	11

## HISTORY OF CHANGES

Version	Date	Author	Description
1.0	11/10/2017	First version	List
1.1	15/11/2017	Co-managed accounts management Length for the string-type fields	List
1.2	23/11/2017	Added <MemberID> to the string of example of header	List
1.3	28/12/2017	- Times modified in the <i>File Mapping Management</i> subsection - Modification of the headings	List
1.4	10/09/2018	FirmShortCode constraints added	List
1.5	21/03/2022	Upload time changes from 19:00 to 23:00	

---

# 1 STATEMENT OF NON-DISCLOSURE

---

All the information contained in this document is proprietary and confidential, and is for the exclusive internal use of the recipient of this document.

Acceptance of this document signifies the recipient's agreement that none of the information contained herein shall be released or made available to persons within the organization who do not have need to know or who are not otherwise involved in the evaluation of the document's contents.

Unless otherwise required by law, the information quoted in this document must not be disclosed, directly or indirectly, to any other offer or competitor, without LIST's prior written consent.

## 2 INTRODUCTION

---

This document describes the format of the file used to match the ClientID to the Client Identification Code in the master file. This mapping is implemented in the **FT\_C\_MRK\_CLIENT** class. The matching between Firm Short Code and Firm Long Code is also described. This mapping is implemented in the **FT\_C\_FIRM\_CODE\_DEFINITION** class.

The modalities to send and manage the file as described as well.

### 3 SPECIFICATIONS OF THE FORMAT OF THE MAPPING FILE

This file is a text file with .txt extension. The name of the file must start with the prefix:

- "HIMTF\_ MemberId\_C\_" for MarketClient mapping,
- "HIMTF\_ MemberId\_IE\_" for FirmCode mapping

Where MemberId is the code assigned to the Member by the Market.

The rest of the name is free.

The same file must only contain one type of mapping (MarketClient or FirmCode), consequently a file containing information for both classes should not be recognized by the system.

The parameters in the file must be <TAB> separated.

The file uploaded by the component is made up of two sections:

A HEADER section, whose parameters are:

- o Name of the class to import (FT\_C\_MRK\_CLIENT or FT\_C\_FIRM\_CODE\_DEFINITION)
- o **MemberID** the mapping is requested for
- o Number of rows to input
- o The optional **RESET** parameter, which requires the deletion of the records which currently are in the table.

If the **RESET** parameter is set and you reset, the records in the file are deleted and then the new records are inputted.

In case of "Reset", the ShortCodes already sent can be sent again.

Below is an example of the Header row in the file:

```
<class_name> <TAB> <MemberID> <TAB> <number_following_records> <TAB> (optional)RESET
```

The same file must only contain one Header row, as a consequence it is not possible to input the data of different classes in the same file.

A data section, which contains the number of rows required in the HEADER section, with the parameters required on the basis of the class to input.

## 3.1 FORMAT OF THE DATA SECTION

### 3.1.1 Format of the FT\_C\_MRK\_CLIENT class

The FT\_C\_MRK\_CLIENT class is used by the broker to provide the matching between Client ID Short and Long codes which is required by MIFID 2 regulations for client activities.

The parameters required to input a record in the FT\_C\_MRK\_CLIENT table are:

Field Name	Required	Data Type	Description	Length
MemberID	KEY - Mandatory	STRING	Id of the member which submits the file	16
ClientID	KEY - Mandatory	STRING	Id of the ClientID short code	32
Description	Optional	STRING		64
CountryID	Optional	STRING		6
Client Type	Mandatory	ENUM	"Person" or "LegalEntity" Specify the MIFID Client Type	
Client Identification Code	KEY - Mandatory	STRING	Contains the national ID (if Person) or LEI (if LegalEntity) of the Client (MIFIDII)	40

The parameters in the file must fulfill the following requirements:

- The MemberID must be the same as the MemberID in the Header of the file
- The Client Type parameter must have one of the following values: Person or LegalEntity (case sensitive)

All the remaining parameters are free strings.

Below is an example of a row for the FT\_C\_MRK\_CLIENT table.

**MemberID**<TAB>**ClientID**<TAB>**Description**<TAB>**CountryID**<TAB>**ClientType** (Person or LegalEntity)<TAB>**ClientIdentificationCode**

Another requirement, in addition to the software restrains, is that the ShortCode is univocal, i.e. one Short Code can only match one Long Code, so that the subject (Person or Algorithm) is uniquely identified.

The same Short Code can be inputted into the master file both as Investment Decision and Execution Decision. In such a case, there will be two records which are the same but with a different value for the FirmCodeType parameter.

#### Co-managed accounts management

Co-managed accounts must be provided by the participant by inputting different rows with different Client Identification Codes in the file. The different Client Identification Codes must refer to the same ClientID short code. For example:

ClientID Short Code	Client Identification Code
SC1	FiscalCode1

SC1	FiscalCode 2
SC1	FiscalCode 3

If the broker needs to edit / delete or input an association between a ClientID short code and a co-managed account, all the Client Identification Codes associated with the ClientID Short Code must be sent.

In other words, in one single file, the broker must always specify all the Client Identification Codes matching any Short Code for any Client Short Code that must be mapped.

### 3.1.2 Format of the FT\_C\_FIRM\_CODE\_DEFINITION class

The FT\_C\_FIRM\_CODE\_DEFINITION class is used by the broker to provide the matching between Execution/Investment Short and Long codes which is required by MIFID 2 regulations for client activities.

The parameters required to input a record in the FT\_C\_FIRM\_CODE\_DEFINITION table are:

Field Name	Required	Data Type	Description	Length
MemberID	KEY - Mandatory	STRING	Id of the member which submits the file	16
FirmShortCode	KEY - Mandatory	ULONG	Id of the short code	
FirmCodeType	KEY - Mandatory	ENUM	"Investment" or "Execution"	
FirmLong Code	Mandatory	STRING	Long Code of the Firm	64
FirmType	Mandatory	ENUM	"Person" or "Algorithm"	

The parameters in the file must fulfill the following requirements:

- The **MemberID** must be the same as the MemberID in the Header of the file (similarly to the data section for the FT\_C\_MRK\_CLIENT class).
- The **FirmShortCode** must be a number between 0 and 2147483647.
- The **FirmCodeType** parameter must have one of the following values: Investment or Execution (case sensitive).
- The **FirmType** parameter can have one of the following values: Person or Algorithm (case sensitive).

If the same **FirmShortCode** is used as **Investment** and **Execution**, then two rows, one for each **FirmCodeType** are required. Below is an example of a row for the FT\_C\_FIRM\_CODE\_DEFINITION table.

MemberID<TAB>FirmShortCode<TAB>FirmCodeType (Investment or Execution)<TAB>FirmLongCode<TAB>FirmType(Person or Algorithm)

## 3.2 EXAMPLES

The sections below give examples of the contents in the mapping file.

### 3.2.1 FT\_C\_MRK\_CLIENT Class

Name of the file: HiMTF\_MRK\_CLIENT\_012345.txt

**Contents:**

FT\_C\_MRK\_CLIENT 012345 1

03045 Client ClientDescription ITA Person ADDJHN81M15G187D

### 3.2.2 FT\_C\_FIRM\_CODE\_DEFINITION Class

Name of the file: HiMTF\_FIRM\_CODE\_DEF\_012345.txt

**Contents:**

FT\_C\_FIRM\_CODE\_DEFINITION 012345 1 RESET

03045 121212 Investment 136485475 Person

If the RESET parameter is set and you reset, the records in the file are deleted and then the new records are inputted.

---

## 4 FILE MAPPING MANAGEMENT

---

Members must upload their mapping files on the FTP site, in the **Mifid\_ShortCode** sub-directory, until 23:00. The naming convention defined in Format of the Data section must be followed. After the file is processed by the platform market, it is removed from this directory and archived. The file is processed only once and it is not possible to reload it. In case of errors when uploading the mapping file on the FTP site, the members can delete or replace the uploaded file by 23:00.



[www.list-group.com](http://www.list-group.com)