



**ATHEXCLEAR**  
Clearing House

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# **SFTR SERVICE FILE REGISTRATION APPLICATION**

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## **USER MANUAL**

**VERSION: 1.1 – 01/10/2024**



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## REVISION TABLE

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Ver.	Section	Revision details – Reason of change
1.0		First edition
1.1		"Submissions" screen change - Ability to download the original submitted file



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## TABLE OF CONTENTS

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<b>1</b>	<b>GENERAL</b> .....	<b>5</b>
	1.1 Purpose - Overview.....	5
<b>2</b>	<b>DESCRIPTION AND OPERATION</b> .....	<b>6</b>
	2.1 User's password management .....	6
	• Connecting and disconnecting at AthexGroup web site .....	6
	• Password change at first login.....	7
	• Password change and management .....	8
	2.2 Connecting to the System .....	9
	2.3 Home page.....	10
	2.4 File List.....	10
	2.5 File upload check .....	11
	• Response file download .....	13
	2.6 Uploaded files.....	13

# 1 GENERAL

## 1.1 Purpose - Overview

The present manual outlines the functions that are performed by the users of the participants in the SFTR service, via the file registration application.

The following functions are provided in this issue:

1. Logging in the system,
2. User Password Change,
3. Registering a customer file for customers using the SFTR service to deliver reports relating to transactions cleared by ATHEXCLEAR,
4. Registering a customer file for customers using the SFTR service to deliver reports relating to transactions **not** cleared by ATHEXCLEAR,
5. Registering the file of collaterals per customer, using the SFTR Service, in order to submit the reports concerning the transactions cleared by ATHEXCLEAR,
6. Registering from the Members of the transaction – position files for transactions made in other Exchanges or OTC Derivatives transactions.
7. Receiving registered files results.

## 2 DESCRIPTION AND OPERATION

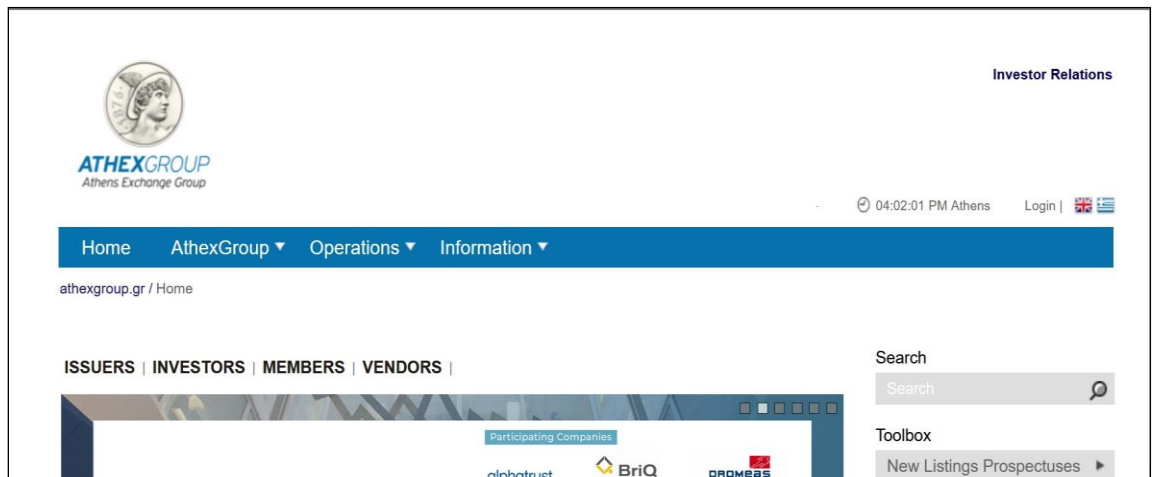
### 2.1 User's password management

For security reasons, after your first login you should change your password. You should also regularly change your password.

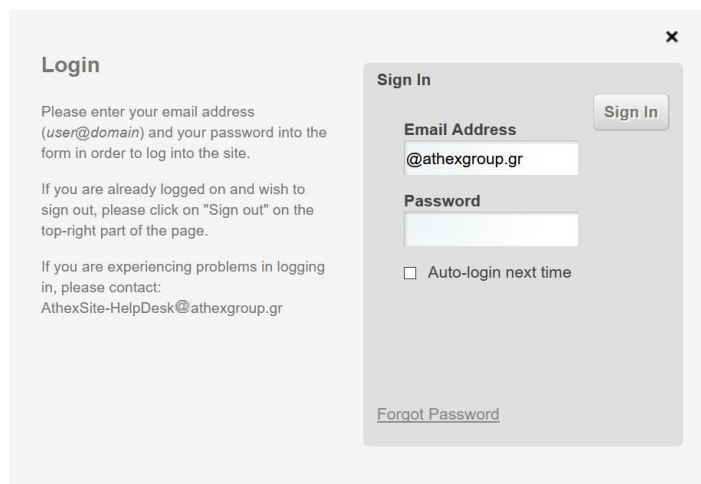
Passwords are managed at the ATHEX Group Web site.

- **Connecting and disconnecting at AthexGroup web site**

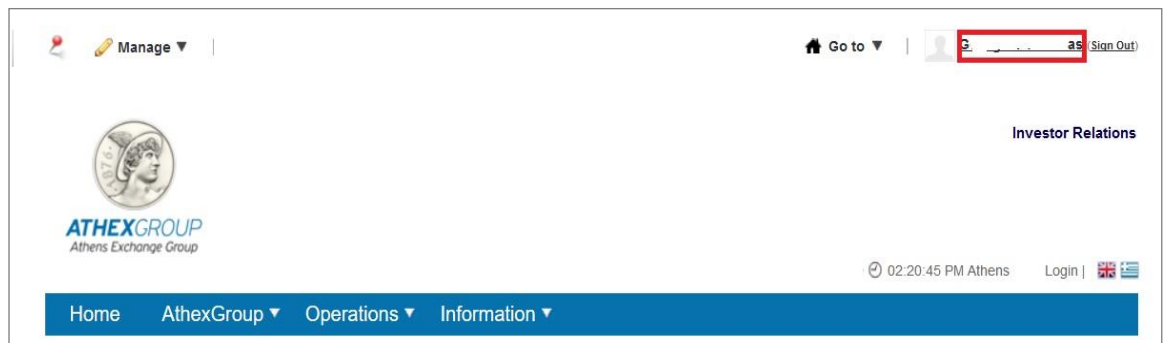
In order to connect to the ATHEX Group website, please use the following link: <http://www.athexgroup.gr/>. The following screen will be displayed:



Please choose the option "Login" and the below tab will display. Enter your email address and the corresponding password and then click the "Sign In" button.

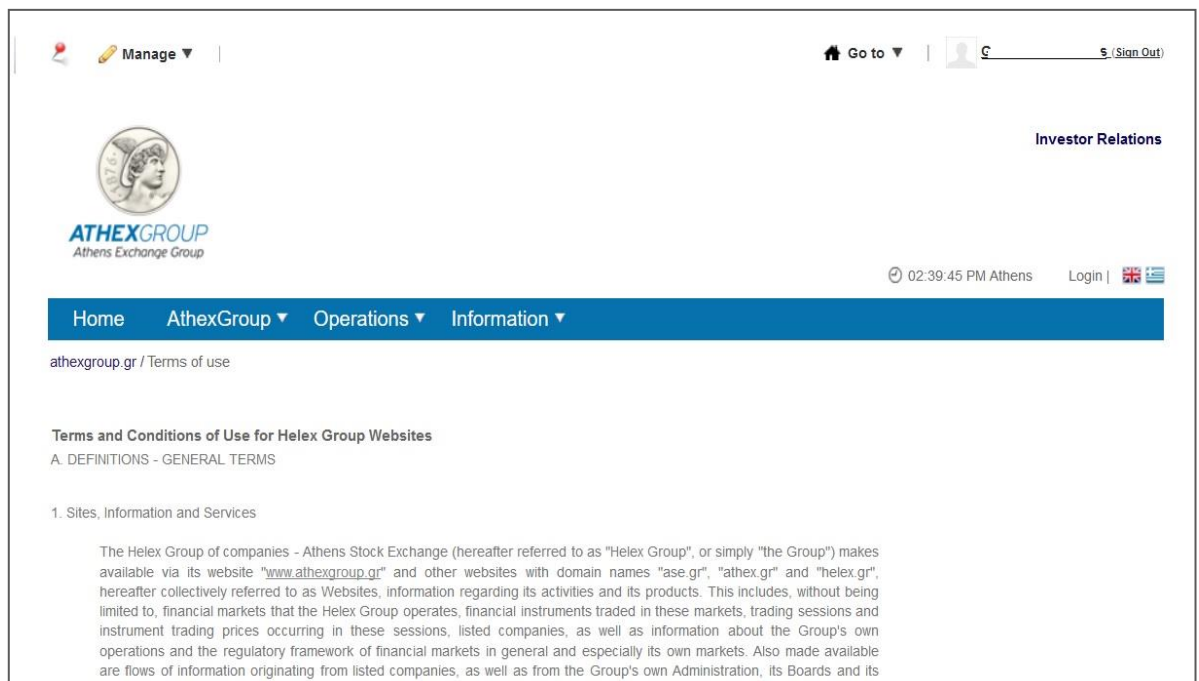


If you have typed your email and password correctly, then on the right top side the name of the user and the "Sign Out" option will be displayed, as shown at the following picture.



- **Password change at first login**

At initial login the terms of usage of site will be displayed:



After reading the terms of use, please proceed to the next step of the process by clicking "I agree". On the next screen that appears, type the new password at the fields "New Password" and "Enter Again". Click on the "Save" button in order to submit your new password.

At the next step, please select query password reminder, type the corresponding answer and select "save".

Then the home page of the site will be displayed.

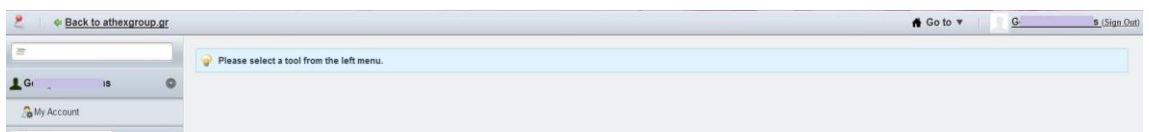
• **Password change and management**

In order to manage your user account, you have to click the following link:  
<http://www.athexgroup.gr/>.

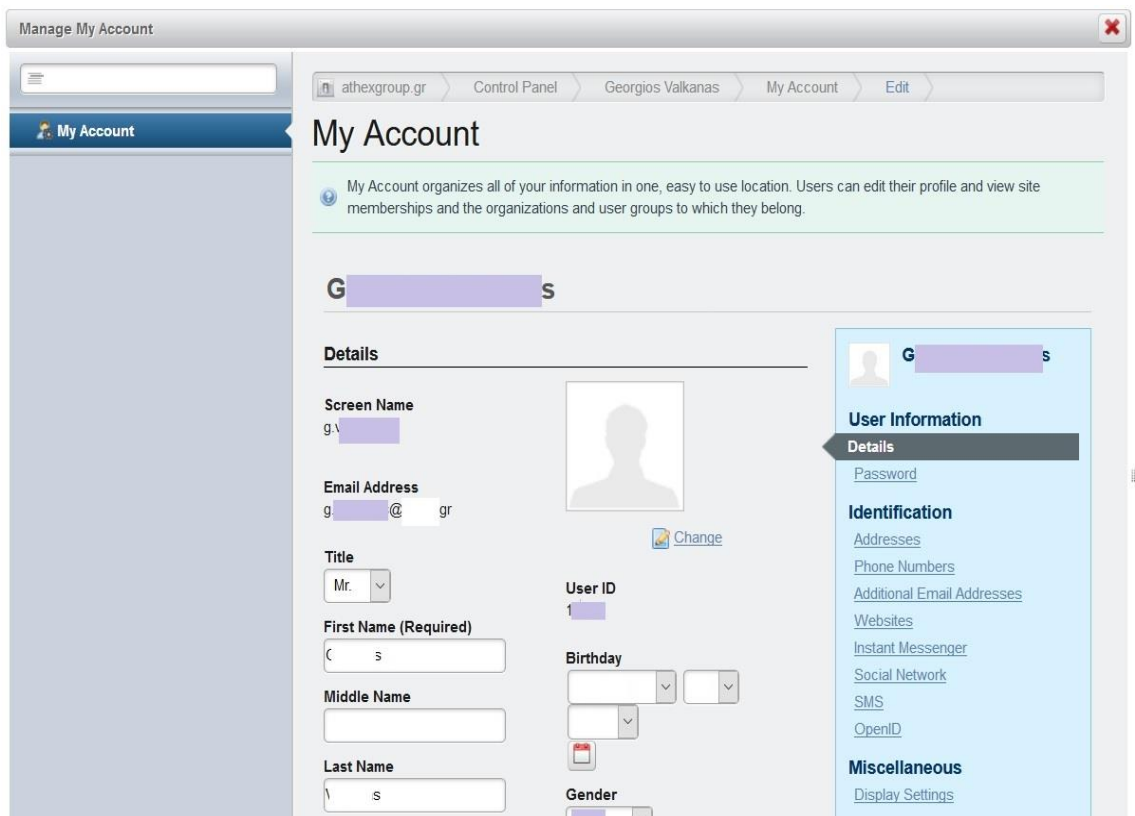
Select the "Control Panel" option under the the "Go To" menu, as shown below.



The following screen will be displayed, where from the menu on the left you have to choose the option "My Account".



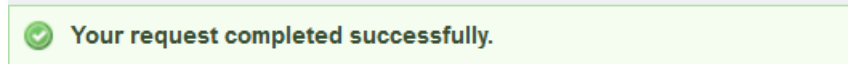
The following screen will be displayed on the main information area.





You can change your password from the menu on the right by clicking on the "Password" option.

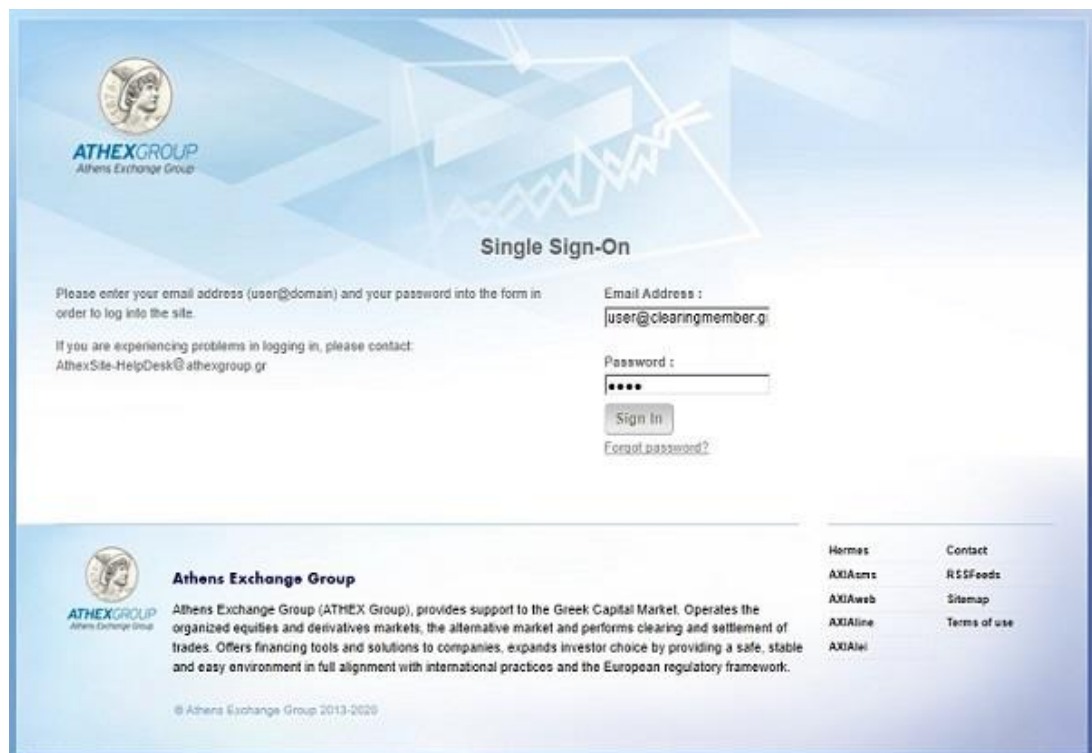
If the changes are registered successfully the following message will be displayed.



## 2.2 Connecting to the System

In order to login to the system, you must use an Internet Browser (Internet Explorer, Google Chrome, etc.) and the computer used must have Internet access.

Enter the address <https://amp.athexgroup.gr/apex>. You should see the following page:

The screenshot shows the Athens Exchange Group (ATHEXGROUP) Single Sign-On page. The page has a blue header with the ATHEXGROUP logo and a line graph. Below the header, there is a sign-in form with the following elements:

- Text: "Please enter your email address (user@domain) and your password into the form in order to log into the site."
- Text: "If you are experiencing problems in logging in, please contact: AthexSite-HelpDesk@athexgroup.gr"
- Form field: "Email Address :" with the value "user@clearingmember.g"
- Form field: "Password :" with masked characters "\*\*\*\*\*"
- Buttons: "Sign In" and "Forgot password?"

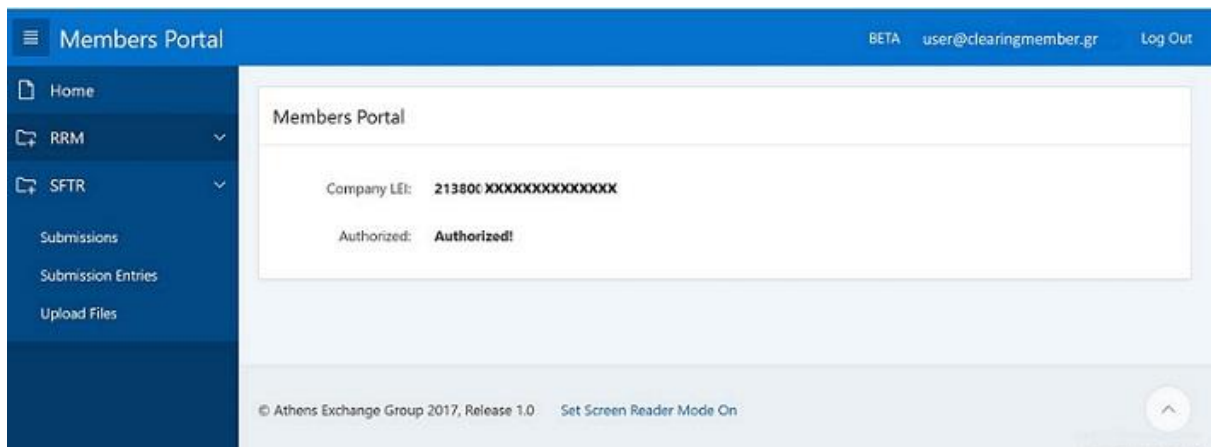
At the bottom of the page, there is a footer with the ATHEXGROUP logo, the text "Athens Exchange Group" and a description of the group's services, and a list of links: Hermes, Contact, AXIAmz, RSSFeeds, AXIAweb, Sitemap, AXIAline, and Terms of use. The copyright notice "© Athens Exchange Group 2013-2020" is also present.

Please enter your Email Address and Password as provided to you by AthexClear and then click on the "Sign in" button.

If you enter your details correctly, you will log in the system and the main page of the SFTR service will be displayed.

## 2.3 Home page

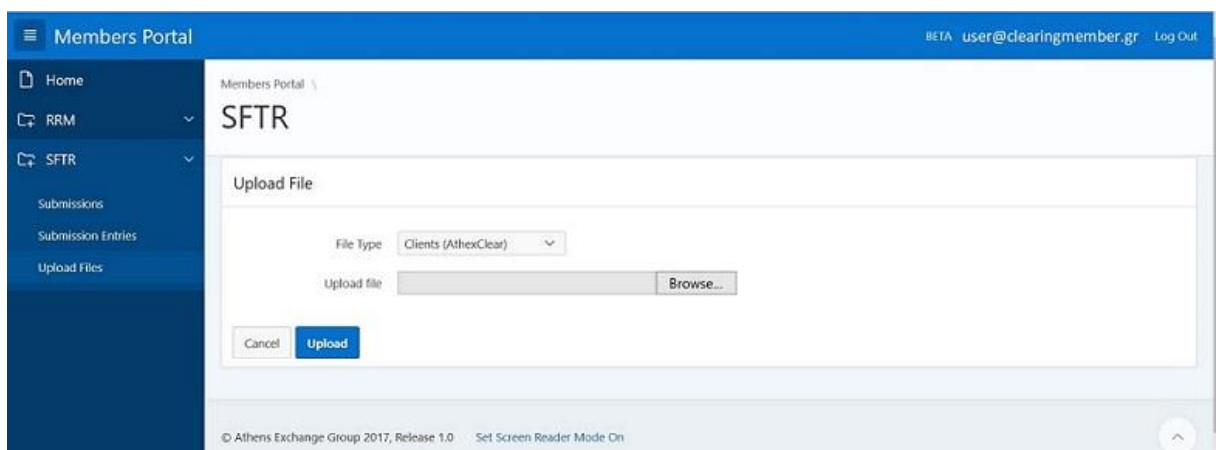
After connecting to the system, the main page is displayed, where the logged in user and the LEI of the Clearing Member, the authorization of the login and the main menu of the SFTR application appear.



Click the “Logout” button in the upper right corner in order to exit the application.

## 2.4 File List

Select the “Upload Files” option from the main page and you shall be directed to the following page:



In this page the menu “**Upload File**” appears with the following options:

- **Clients (AthexClear)** upload client's file for AthexClear transactions
- **Clients (Non AthexClear)** upload file with client's LEI for transactions of other markets
- **Margin** upload client's margin file for AthexClear transactions

- **Trades (Non AthexClear 052)** upload transactions-positions files to REGIS-TR of SFT products that are not cleared from AthexClear
- **Margin (Non AthexClear 070)** upload margin files to REGIS-TR of SFT products that are not cleared from AthexClear

Click **Browse** and choose the path that your file is located and then click **Upload** to upload the file to the SFTR application.

The application informs the user about the successful or unsuccessful file upload, according to the SFTR service technical specifications.

## 2.5 File upload check

From the main menu choose “**Submissions**”. The screen that shows all the file uploads and their status appears.

SFTR Submissions

Members Portal \ SFTR \ SFTR Submissions \

Submission ID	Submission User	Submission Timestamp	Submission Firm LEI	Submission Status	Table Name	Original Submission
192270	G*****S	2024-09-11 17:05:39	213800IWS3U9JM4QR40	RCVD	Trades (non AthexClear 052)	20240911_sfr_s052.xml
192269	G*****S	2024-09-11 16:51:55	213800IWS3U9JM4QR40	RCVD	Trades (non AthexClear 052)	ES2805_S052_20240911_090519_20240910_2_*****_L3_02.xml
192263	G*****S	2024-09-11 16:41:12	213800IWS3U9JM4QR40	RCVD	Trades (non AthexClear 052)	ES2805_S052_20240911_090519_20240910_2_*****_L3_01.xml
192262	G*****S	2024-09-11	213800IWS3U9JM4QR40	RCVD	Trades (non	ES2805_S052_20240911_090519_20240910_2_*****_L3_00.xml

Submissions \

	ACK	I031	Athex to REGIS submission
	<a href="#">SPES2805_I031_20240911_140539_20240911_140539_PASS_S052_0.ack.xml</a>	<a href="#">SPES2805_I031_20240911_140539_20240911_140539_PASS_S052_0.xml</a>	<a href="#">ES2805_S052_20240911_140539_20240911_140539_PASS_S052_0.xml</a>
nl	-	-	-
nl	-	-	-
nl	-	-	-
	-	-	<a href="#">ES2805_S052_20240626_094426_20240626_094426_PASS_S052_0.xml</a>
	<a href="#">SPES2805_I031_20240611_081856_20240611_081856_PASS_S052_0.ack.xml</a>	<a href="#">SPES2805_I031_20240611_081856_20240611_081856_PASS_S052_0.xml</a>	<a href="#">ES2805_S052_20240611_081856_20240611_081856_PASS_S052_0.xml</a>
	<a href="#">SPES2805_I031_20240607_100424_20240607_100424_PASS_S052_0.ack.xml</a>	<a href="#">SPES2805_I031_20240607_100424_20240607_100424_PASS_S052_0.xml</a>	<a href="#">ES2805_S052_20240607_100424_20240607_100424_PASS_S052_0.xml</a>
	<a href="#">SPES2805_I031_20240607_094426_20240607_094426_PASS_S052_0.ack.xml</a>	<a href="#">SPES2805_I031_20240607_094426_20240607_094426_PASS_S052_0.xml</a>	<a href="#">ES2805_S052_20240607_094426_20240607_094426_PASS_S052_0.xml</a>

The Client and margin files that are submitted to the application, after they pass the initial check (debugging) are again subjected to a content correctness check according to the technical specifications of the SFTR service

If they pass the second test successfully, the value "**ACPT**" (Accepted) appears in the column "**Submission Status**", otherwise the value "**PART**" (Partially accepted) appears.

For the Transactions (0.52) and Margin (0.70) files created by the SFTR application and related to the SFT transactions-positions that have been cleared by AthexClear and their Margin respectively, the column "**Submission Status**" gets the value "**AUTO**".

In the "**Original Submission**" field by clicking on the name of the file that appears as a value of the field the user can download the file he had submitted.

In the "**ACK**" field by clicking on the file name that appears as the value of the field the user can download the file with the answer as to whether it was accepted or not by REGIS-TR.

In the "**I031**" field by clicking on the name of the file that appears as the value of the field the user can download the file with the answer as to which recordings of the file submitted to REGIS TR have been accepted or not.

In the "**Athex to REGIS submission**" field by clicking on the name of the file that appears as the value of the field the user can download the file submitted to REGIS TR by ATHEXCLEAR.

The screen gives the possibility of "sorting" by column – display the column or not (by pressing the cursor on the name of each column).

The user can search with each of the fields that appear as well as combinations of them by clicking on the magnifying glass icon located above the "Submission Id" column.

The columns available for the user are the following:

**Submission ID:** Number – Code of file upload

**Table Name:** File type

**File Name:** File name

**Submission Timestamp:** File upload timestamp

**Submission User:** The user that have uploaded the file

**Submission Firm Lei:** LEI of the Clearing Member.

**Submission Status:** ACPT, PART,AUTO (for systemic user)

**Original Submission:** File that has been uploaded by the Clearing Member

**Athex to REGIS Submission:** File that uploaded by ATHEXCLEAR

**ACK:** File with the answer of the upload

**I031:** File with the answers of the records of the file that has been uploaded

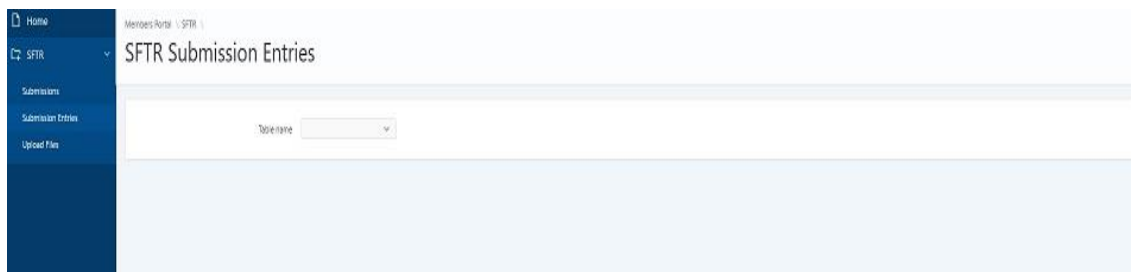
Finally, the user has multiple options from the "**Action**" option such as: show-hide columns, apply filters, export reports, save a table in the form of files of various formats, etc.

- **Response file download**

In order to confirm the correctness of the data you entered, you must download the relevant response file (I031) from the central system.

## 2.6 Uploaded files

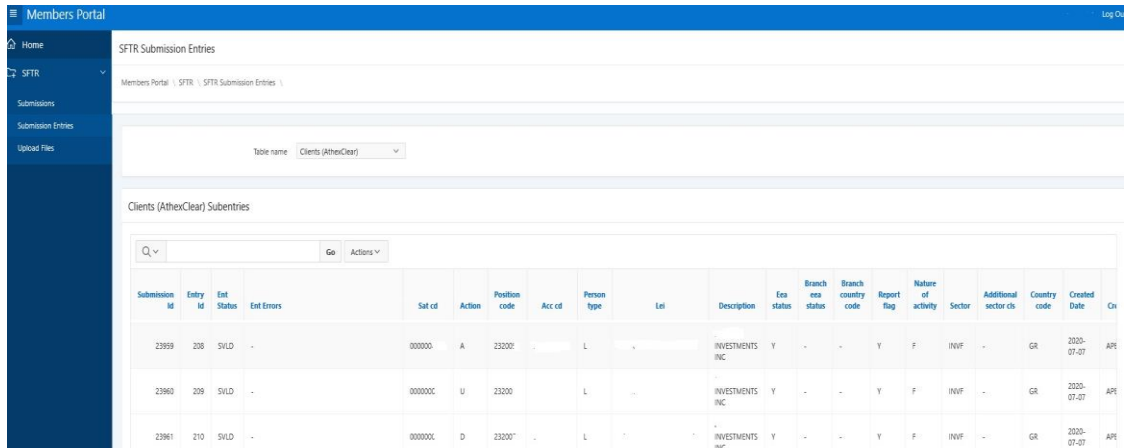
Select the "**Submission Entries**" button from the main menu. The page with all the options of the type of files that can be submitted is displayed (list):



Από την λίστα "**Table Name**" υπάρχουν τις εξής επιλογές :

- **Clients AthexClear**
- **Clients (AthexClear)**
- **Clients (Non AthexClear)**

- **Margin**
  - **Margin Submissions**
  - **Sftr Submissions**
- By clicking “**Clients (AthexClear)**” the following screen is displayed:



The screenshot shows the 'Members Portal' interface. The main content area displays 'SFTR Submission Entries' with a table name dropdown set to 'Clients (AthexClear)'. Below this, there is a search bar and a table titled 'Clients (AthexClear) Subentries'. The table has columns for Submission Id, Entry Id, Ent Status, Ent Errors, Sat cd, Action, Position code, Acc cd, Person type, Lei, Description, Eea status, Branch eea status, Branch country code, Report flag, Nature of activity, Sector, Additional sector cls, Country code, Created Date, and Cn.

Submission Id	Entry Id	Ent Status	Ent Errors	Sat cd	Action	Position code	Acc cd	Person type	Lei	Description	Eea status	Branch eea status	Branch country code	Report flag	Nature of activity	Sector	Additional sector cls	Country code	Created Date	Cn
23959	208	SVLD	-	000000	A	232001		L		INVESTMENTS INC	Y	-	-	Y	F	INVF	-	GR	2020-07-07	ARI
23960	209	SVLD	-	000000	U	232000		L		INVESTMENTS INC	Y	-	-	Y	F	INVF	-	GR	2020-07-07	ARI
23961	210	SVLD	-	000000	D	232001		L		INVESTMENTS INC	Y	-	-	Y	F	INVF	-	GR	2020-07-07	ARI

Here the user can see how many Clearing Member’s client files have been submitted by SFTR users for transactions cleared by AthexClear. The information is available through the fields below described in the table below:

<b>Submission Id</b>	File submission code given by the system
<b>Entry Id</b>	Registration number
<b>Ent Status</b>	SVLD: Registration without errors FVLD: Registration with errors
<b>Ent Errors</b>	Error description
<b>Sat cd</b>	0000000XXX Clearing member DSS code
<b>Action</b>	A: New record U: Update existing record D: Deletion of existing record
<b>Position code</b>	DSS position account
<b>Acc cd</b>	DSS client code
<b>Person type</b>	L: Natural person N : Legal entity

<b>Lei</b>	Legal entity LEI
<b>Description</b>	Legal entity name
<b>Eea status</b>	Y: Legal entities that are located in the European Economic Area  N: Legal entities that are located outside the European Economic Area
<b>Branch eea status</b>	Y: Legal entities that are located outside the European Economic Area but their branch is located in the European Economic Area
<b>Branch country code</b>	Two characters / abbreviation of Country within European Economic Area where the Branch of the Legal Entity is located
<b>Report flag</b>	Only for Legal Entities:  Y: client delegates transaction/position reporting  N: client does not delegate transaction/position reporting
<b>Nature of activity</b>	Only for Legal Entities: Nature of counterparty activity  F (Financial)  N (Non Financial)
<b>Sector</b>	Sector of the client
<b>Additional sector cls</b>	Additional sector classification
<b>Country code</b>	Country of the other counterparty
<b>Created Date</b>	Record creation date
<b>Created By</b>	APEX_PUBLIC_USER
<b>Last Update Date</b>	Record update date
<b>Last Update By</b>	APEX_PUBLIC_USER

- By clicking “ **Clients (Non AthexClear)**” the following screen is displayed:

Members Portal \ SFTR \ SFTR Submission Entries \

Table name: Clients (non AthexClear) ▾

Clients (Non AthexClear) Subentries

Q ▾ Go Actions ▾

Submission Id	Entry Id	Ent Status	Ent Errors	Action	Lei	Description	Effective date	Created Date	Created By	Last Update Date	Last Update By
186349	1	FVLD	Internal_System Error	A	213800...		2024-03-26	2024-03-26	APEX_PUBLIC_USER	2024-05-14	APEX_PUBLIC_USER
188152	21	FVLD	cannot insert LEI code already exists at this reporting firm outer clients	A	213800...		2024-03-26	2024-05-15	APEX_PUBLIC_USER	2024-05-15	APEX_PUBLIC_USER

Here the user can see how many Clearing Member's clients files have been submitted by SFTR users for transactions that are **not** cleared by AthexClear. The information is available through the following fields described in the table below:

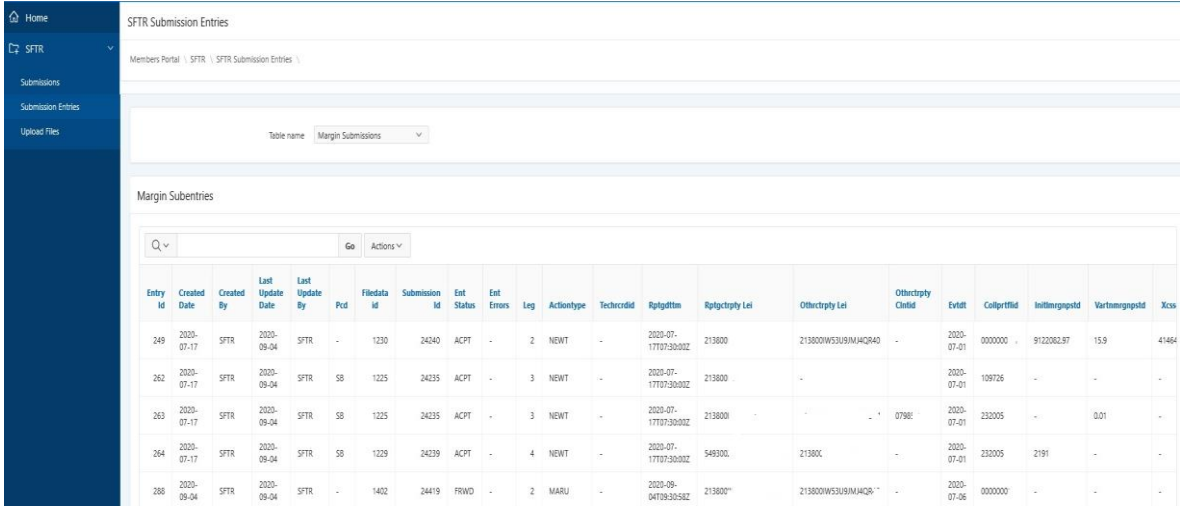
<b>Submission Id</b>	File submission code given by the system
<b>Entry Id</b>	Registration number
<b>Ent Status</b>	SVLD: Registration without errors FVLD: Registration with errors
<b>Ent Errors</b>	Error description
<b>Action</b>	A: New record U: Update existing record D: Deletion of existing record
<b>Lei</b>	Legal entity LEI
<b>Description</b>	Legal entity name
<b>Effective date</b>	Activation date for the acceptance of the reports to REGIS TR
<b>Created Date</b>	Record creation date
<b>Created By</b>	APEX_PUBLIC_USER
<b>Last Update Date</b>	Record update date
<b>Last Update By</b>	APEX_PUBLIC_USER



With the "**Margin**" option, the user can see all the client's margin files of Clearing Member that have been submitted by the users of the SFTR service for transactions that are cleared by AthexClear. The information is available through the following fields described in the table below:

<b>Submission Id</b>	File submission code given by the system
<b>Entry Id</b>	Registration number
<b>Ent Status</b>	SVLD: Registration without errors FVLD: Registration with errors
<b>Ent Errors</b>	Error description
<b>Trade Date</b>	Transaction date
<b>Sat cd</b>	DSS client code
<b>Position code</b>	DSS position account
<b>Margin</b>	Margin required
<b>Margin cur</b>	EUR
<b>Excess collaterals</b>	The value of the excess collaterals
<b>Excess col cur</b>	EUR
<b>Created Date</b>	Record creation date
<b>Created By</b>	APEX_PUBLIC_USER
<b>Last Update Date</b>	Record update date
<b>Last Update By</b>	APEX_PUBLIC_USER

- By clicking "**Margin Submissions**" the following screen is displayed:



The screenshot shows the 'SFTR Submission Entries' page. A sidebar on the left contains navigation options: Home, SFTR, Submissions, Submission Entries, and Upload Files. The main content area displays a table titled 'Margin Submissions' with a search bar and 'Go' and 'Actions' buttons. The table has the following columns: Entry Id, Created Date, Created By, Last Update Date, Last Update By, Pct, Filedata Id, Submission Id, Ent Status, Ent Errors, Leg, Actiontype, Techrcid, Rptgdtm, Rptgctpty Lei, Othrcptpty Lei, Othrcptpty Cntid, Evlft, Collgtrfild, Inllmrgspfld, Varlsmrgspfld, and Xcs. The table contains 5 rows of data.

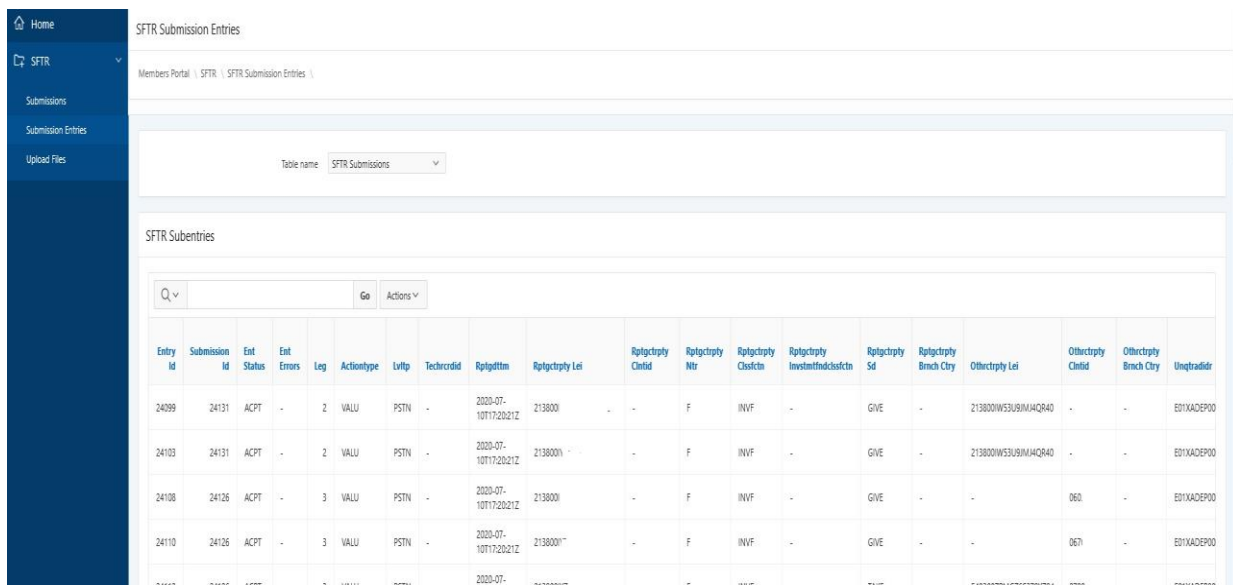
Entry Id	Created Date	Created By	Last Update Date	Last Update By	Pct	Filedata Id	Submission Id	Ent Status	Ent Errors	Leg	Actiontype	Techrcid	Rptgdtm	Rptgctpty Lei	Othrcptpty Lei	Othrcptpty Cntid	Evlft	Collgtrfild	Inllmrgspfld	Varlsmrgspfld	Xcs
249	2020-07-17	SFTR	2020-09-04	SFTR	-	1230	24240	ACPT	-	2	NEWT	-	2020-07-17T07:30:00Z	213800	213800W53U9JMH42R40	-	2020-07-01	0000000	9120282.57	15.9	41464
262	2020-07-17	SFTR	2020-09-04	SFTR	58	1225	24235	ACPT	-	3	NEWT	-	2020-07-17T07:30:00Z	213800	-	-	2020-07-01	109726	-	-	-
263	2020-07-17	SFTR	2020-09-04	SFTR	58	1225	24235	ACPT	-	3	NEWT	-	2020-07-17T07:30:00Z	213800	-	0798	2020-07-01	232005	-	0.01	-
264	2020-07-17	SFTR	2020-09-04	SFTR	58	1229	24239	ACPT	-	4	NEWT	-	2020-07-17T07:30:00Z	549300	213800	-	2020-07-01	232005	2191	-	-
288	2020-09-04	SFTR	2020-09-04	SFTR	-	1402	24419	FRWD	-	2	MARU	-	2020-09-04T09:35:52Z	213800	213800W53U9JMH42R40	-	2020-07-06	0000000	-	-	-

Here the user can see the registrations submitted by AthexClear on their behalf and related to Margin reports for transactions cleared by AthexClear. The information is available through the following fields described in the table below:

<b>Entry Id</b>	Registration number
<b>Created Date</b>	Record creation date
<b>Created By</b>	SFTR
<b>Last Update Date</b>	Record update date
<b>Last Update By</b>	SFTR
<b>Pcd</b>	FLAG : SB /RA/SL
<b>Fileddata id</b>	Field for internal use
<b>Submission Id</b>	File submission code given by the system
<b>Ent Status</b>	ACPT (Accepted), RJCT (Rejected)
<b>Ent Errors</b>	Upload errors
<b>Leg</b>	1,2,3,4
<b>Actiontype</b>	NEWT , MARU
<b>Techrcrdid</b>	Record SN in DSS
<b>Rptgdtm</b>	Report timestamp
<b>Rptgctrpty Lei</b>	Reporting counterparty LEI
<b>Othrcrpty Lei</b>	Other counterparty LEI
<b>Othrcrpty Clntid</b>	DSS client code of the other counterparty
<b>Evttdt</b>	Event date
<b>Collprtflid</b>	Collateral Portfolio ID
<b>Initlmrgnpstd</b>	Initial Margin Posted
<b>Vartnmrgnpstd</b>	Variation Margin Posted
<b>Xcsscollpstd</b>	Excess Collaterals Posted
<b>Initlmrgnrcvd</b>	Initial Margin Received
<b>Vartnmrgnrcvd</b>	Variation Margin Received

<b>Xcscollrcvd</b>	Excess Collaterals Received
<b>Invoice firm id</b>	Client's report number
<b>Invoice firm lei</b>	Client's LEI
<b>Invoice firm sat cd</b>	Clearing Member code in DSS

- By clicking **"SFTR Submissions"** the following screen is displayed:



Here the user can see the registrations submitted by AthexClear on their behalf and concern transaction-position reports cleared by AthexClear. The information is available through the following fields described in the table below:

<b>Entry Id</b>	Registration number
<b>Submission Id</b>	File submission code given by the system
<b>Ent Status</b>	ACPT (Accepted), RJCT (Rejected)
<b>Ent Errors</b>	Upload errors
<b>Leg</b>	1,2,3,4
<b>Actiontype</b>	VALU,MODI,POSC
<b>Lvltp</b>	TCTN , PSTN
<b>Techrcdid</b>	Record registration number
<b>Rptgctrpty Lei</b>	LEI of the legal entity responsible for the report
<b>Rptgctrpty Clntid</b>	DSS client code
<b>Rptgctrpty Ntr</b>	Nature of the reporting counterparty
<b>Rptgctrpty Clssfctn</b>	Sector of the reporting counterparty

<b>Rptgctrpty Invstmtfndclsfctn</b>	Additional sector classification
<b>Rptgctrpty Sd</b>	TAKE,GIVE
<b>Rptgctrpty Brnch Ctry</b>	Registered office of the branch of the legal entity submitting the report
<b>Othrcrpty Lei</b>	LEI του αντισυμβαλλόμενου
<b>Othrcrpty Clntid</b>	DSS client code of the other counterparty
<b>Othrcrpty Brnch Ctry</b>	Registered office of the branch of the other counterparty of the report
<b>Unqtradir</b>	UTI-PUTI
<b>Evttdt</b>	Event date
<b>Exctndttm</b>	Execution date
<b>Scty Id</b>	Security ISIN
<b>Scty Clssfctntp</b>	Security CFI
<b>Scty Qty</b>	Security Quantity
<b>Scty Unitpric</b>	Security closing price int ATHEX
<b>Created Date</b>	Report creation date
<b>Created By</b>	SFTR
<b>Last Update Date</b>	Date of the most recent update of the report
<b>Last Update By</b>	SFTR
<b>Prtflcd</b>	Portfolio code
<b>Mktval</b>	Market Value
<b>Lnval</b>	Loan Value
<b>Scty Issr Lei</b>	LEI of the issuer
<b>Scty Type</b>	Security Type
<b>Clrdttm</b>	Clearing Timestamp
<b>Valdt</b>	Value Date
<b>Othrcrpty ctrycd</b>	Other counterparty registered office
<b>Scty issr jursdctnctry</b>	Security issuer registered office
<b>Nttypsnsblforrpt</b>	LEI of the legal entity responsible for the report
<b>Clrmmb</b>	LEI of the clearing member submitting the report
<b>Brkr</b>	Broker ID
<b>Pcd</b>	FLAG: SB /RA/SL
<b>Filedta id</b>	Field for internal use