

ATHEXCLEAR

Clearing House

ATHENS EXCHANGE CLEARING HOUSE S.A.

**SFTR Service
File Registration Application
User Manual**

Version 1.2

March 2025

Athens Exchange Clearing House S.A. (ATHEX Clear) has made all possible endeavors to ensure that the information and data in this edition is accurate and up to date but is not responsible for their accuracy and completeness, and cannot guarantee that the texts contained herein are true copies of the official documents.

The entire information contained herein is general in nature and does not constitute investment, legal or other advice.

This is the property of ATHEX Clear and is protected under copyright law. It is prohibited to reproduce, republish, modify, copy, sell, transmit or distribute, in any manner or by any means, all or part hereof, without the prior written consent of ATHEX Clear.

REVISION TABLE

Ver.	Section	Revision details - Reason of change
1.0		First edition
1.1		"Submissions" screen change - Ability to download the original submitted file
1.2		Addition of new values in the "Submission Status" column of the "Submissions" screen Modification of the Login Process on ATHEXGroup new website

TABLE OF CONTENTS

1	GENERAL	5
	1.1 Purpose - Overview.....	5
2	DESCRIPTION AND OPERATION	6
	2.1 User's password management.....	6
	2.2 Connecting and disconnecting at AthexGroup web site	6
	2.3 Connecting to the System.....	8
	2.4 Home page.....	9
	2.5 File List	9
	2.6 File upload check	10
	• Response file download	12
	2.7 Uploaded files	12

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

2 DESCRIPTION AND OPERATION

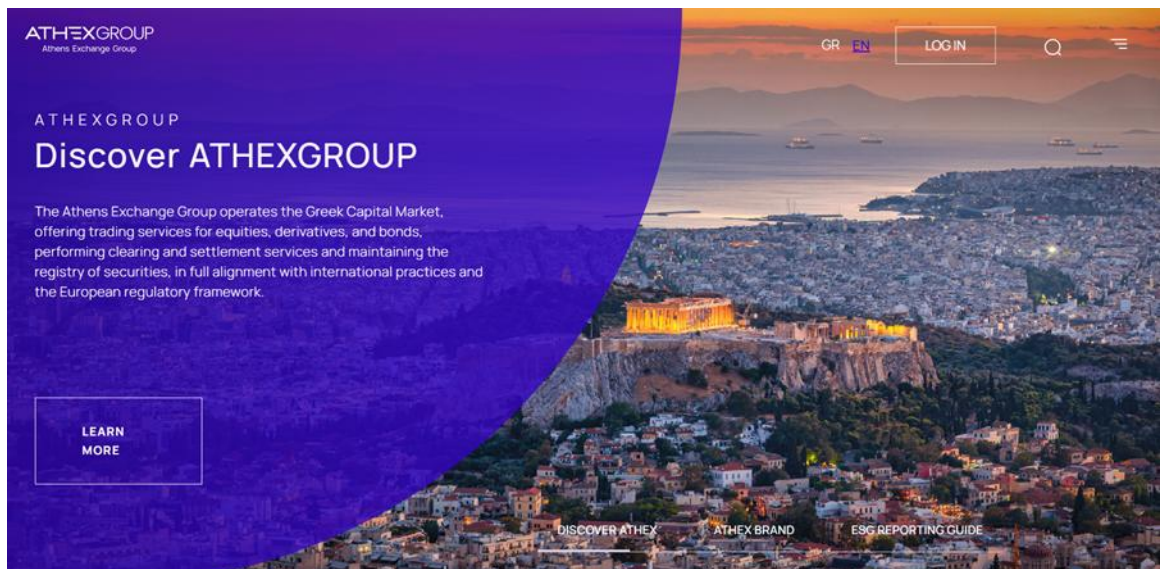
2.1 User's password management

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.

2.2 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:



Select the option “**LOG IN**” and the below tab will be displayed. Then, select the option “**Sign in**”.



Enter the email address you have register in the SFTR-TR Service User Application form and the corresponding password and then click the "**Sign In**" button.

Sign In ×

Email Address

Password

Remember Me

[Forgot Password](#)

The first attempt to login ,the user fill in the e-mail address as it is registered in the SFTR-TR Service User Application form and next follows the "Forgot Password" process.

If you have typed your email and password correctly, then on the right top side the name and surname of the user (if you select the icon) and the "**Sign Out**" option will be displayed, as shown in the following picture.



User Name and Surname

Sign Out

2.3 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.

By entering the link:

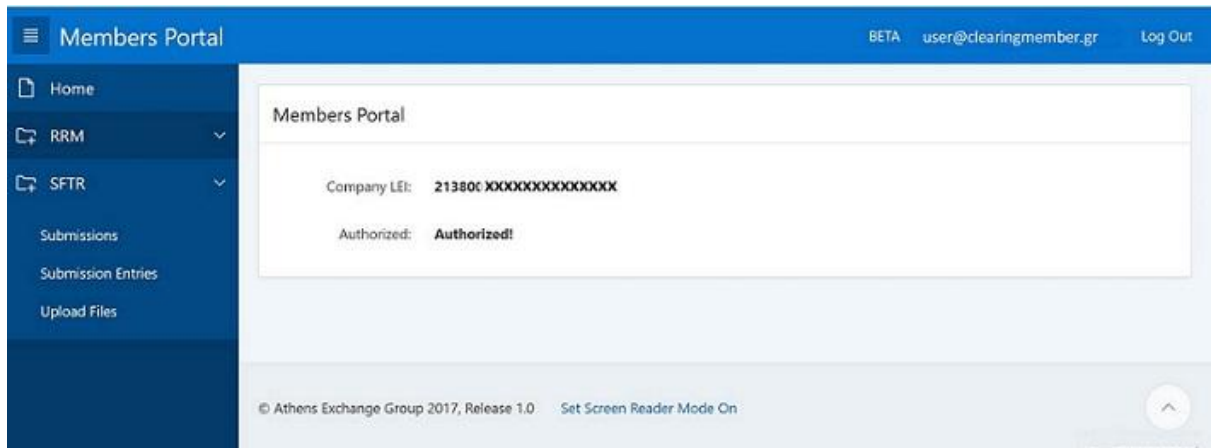
- <https://amp.athexgroup.gr/apex>, the user can log in to the production environment.
- <https://t-amp.athexgroup.gr/apex>, the user can log in to the test environment.

Enter your Email Address as it is registered in the SFTR-TR Service User Application form and the corresponding Password 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 application will be displayed.

2.4 Home page

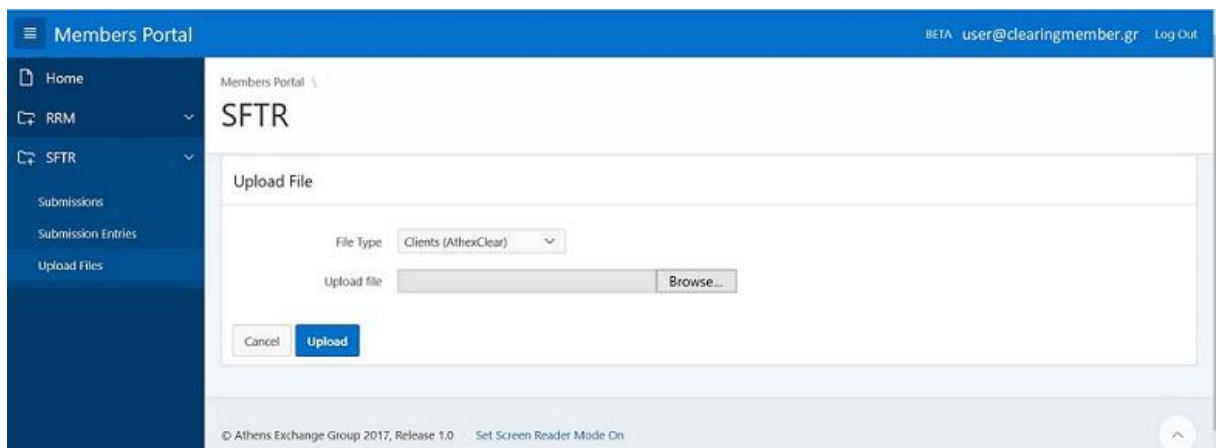
After connecting to the system, the main page is displayed, where the logged in user and the LEI of the Clearing Member, the authorization of the login and the main menu of the SFTR application appear.



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

2.5 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 succesful or unsuccessful file upload, according to the SFTR service technical specifications.

2.6 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 \

Q v Go Actions v

Submission ID	Submission User	Submission Timestamp	Submission Firm LEI	Submission Status	Table Name	Original Submission
192270	G... ..S	2024-09-11 17:05:39	213800IW53U9JM4QR40	RCVD	Trades (non AthexClear 052)	20240911_sfttr_s052.xml SPES2805_I031_20...
192269	G... ..S	2024-09-11 16:51:55	213800IW53U9JM4QR40	RCVD	Trades (non AthexClear 052)	ES2805_S052_20240911_090519_20240910_2... ..L3_02.xml
192263	G... ..S	2024-09-11 16:41:12	213800IW53U9JM4QR40	RCVD	Trades (non AthexClear 052)	ES2805_S052_20240911_090519_20240910_2... ..L3_01.xml
192262	G... ..S	2024-09-11	213800IW53U9JM4QR40	RCVD	Trades (non	ES2805_S052_20240911_090519_20240910_2... ..L3_00.xml

Submissions \

Go Actions ▾

	ACK	I031	Athex to REGIS submission
	SPES2805_I031_20240911_140539_200120211_140539_200120211_PASS_5052_0_ack.xml	SPES2805_I031_20240911_140539_20240911_140539_20240911_PASS_5052_0.xml	ES2805_S052_20240911_140539_200120211_140539_200120211_PASS.xml
nl	-	-	-
nl	-	-	-
nl	-	-	-
	-	-	ES2805_S052_20240626_016934_0954496_016934_0954496_PASS.xml
	SPES2805_I031_20240611_081856_20240611_081856_20240611_PASS_5052_0_ack.xml	SPES2805_I031_20240611_081856_20240611_081856_20240611_PASS_5052_0.xml	ES2805_S052_20240611_081856_20240611_081856_20240611_PASS.xml
	SPES2805_I031_20240607_100424_100424_20240607_100424_PASS_5052_0_ack.xml	SPES2805_I031_20240607_100424_20240607_100424_PASS_5052_0.xml	ES2805_S052_20240607_100424_20240607_100424_PASS.xml
	SPES2805_I031_20240607_094426_20240607_094426_PASS_5052_0_ack.xml	SPES2805_I031_20240607_094426_20240607_094426_PASS_5052_0.xml	ES2805_S052_20240607_094426_20240607_094426_PASS.xml

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 addition, in the "**Submission Status**" column, the value "**RCVD**" (file received from Service Member) appears **only** for the type files "**Trades (non AthexClear 052)**" & "**Margin (non AthexClear 070)**". Then, the "Submission Status" of the original submission will be changed from "RCVD" and will be given the value:

- **RJCT** (Reject) if the submission to REGIS-TR fails. In this case the user will need to resubmit the file.
- **FRWD** (Forward) if the transmission to Regis-TR is successful.

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

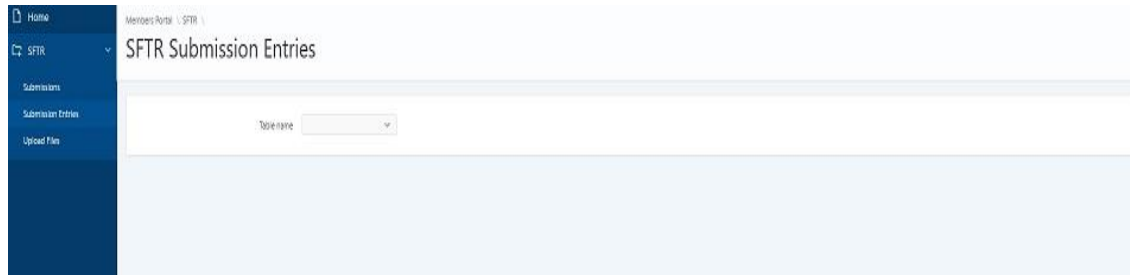
Finally, the user has multiple options from the "**Action**" option such as: show-hide columns, apply filters, export reports, save a table in the form of files of various formats, etc.

- **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.

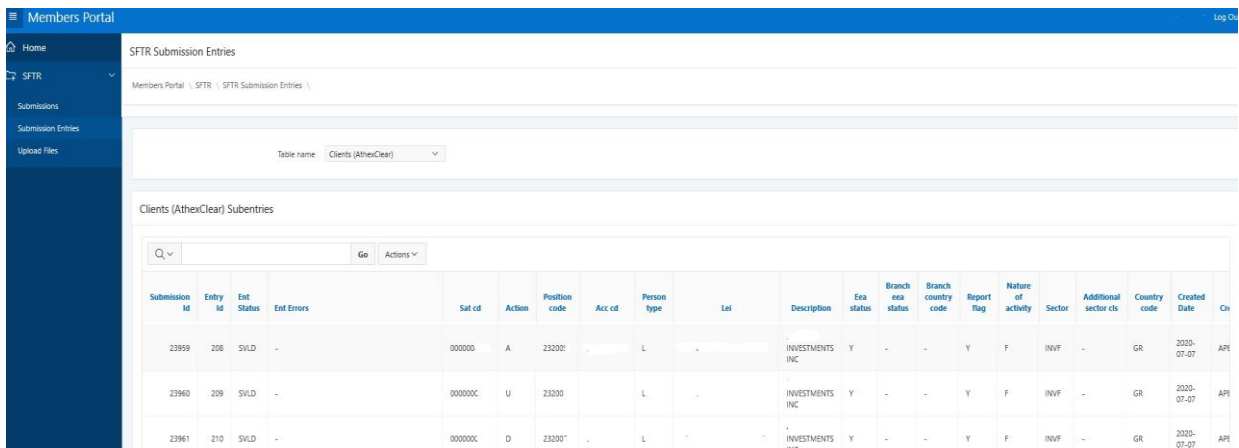
2.7 Uploaded files

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):



From the "Table Name" list there are the following options:

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



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:

Submission Id	File submission code given by the system
Entry Id	Registration number
Ent Status	SVLD: Registration without errors FVLD: Registration with errors

Ent Errors	Error description
Sat cd	0000000XXX Clearing member Clearing System Dcode
Action	A: New record U: Update existing record D: Deletion of existing record
Position code	Clearing System position account
Acc cd	Clearing System client code
Person type	L: Natural person N: Legal entity
Lei	Legal entity LEI
Description	Legal entity name
Eea status	Y: Legal entities that are located in the European Economic Area N: Legal entities that are located outside the European Economic Area
Branch eea status	Y: Legal entities that are located outside the European Economic Area but their branch is located in the European Economic Area
Branch country code	Two characters / abbreviation of Country within European Economic Area where the Branch of the Legal Entity is located
Report flag	Only for Legal Entities: Y: client delegates transaction/position reporting N: client does not delegate transaction/position reporting
Nature of activity	Only for Legal Entities: Nature of counterparty activity F (Financial) N (Non Financial)
Sector	Sector of the client
Additional sector cls	Additional sector classification

Country code	Country of the other counterparty
Created Date	Record creation date
Created By	APEX_PUBLIC_USER
Last Update Date	Record update date
Last Update By	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:

Submission Id	File submission code given by the system
Entry Id	Registration number
Ent Status	SVLD: Registration without errors FVLD: Registration with errors
Ent Errors	Error description
Action	A: New record U: Update existing record

	D: Deletion of existing record
Lei	Legal entity LEI
Description	Legal entity name
Effective date	Activation date for the acceptance of the reports to REGIS TR
Created Date	Record creation date
Created By	APEX_PUBLIC_USER
Last Update Date	Record update date
Last Update By	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:

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

- By clicking “Margin Submissions” the following screen is displayed:

The screenshot shows the 'Margin Submissions' table with the following data:

Entry Id	Created Date	Created By	Last Update Date	Last Update By	Pcd	Filedata id	Submission Id	Ent Status	Ent Errors	Leg	Actiontype	Techrcrdid	Rptgdttm	Rptgcrpty Lei	Othcrtrpty Lei	Othcrtrpty Cntid	Ervdt	Collpctfid	Inltmrgcpctfid	Vartmrgcpctfid	Xcsc
249	2020-07-17	SFTR	2020-09-04	SFTR	-	1230	24240	ACPT	-	2	NEWT	-	2020-07-17T07:30:00Z	213800	213800WS3U9/IM4QR40	-	2020-07-01	0000000	9122082.97	15.9	41464
262	2020-07-17	SFTR	2020-09-04	SFTR	SB	1225	24235	ACPT	-	3	NEWT	-	2020-07-17T07:30:00Z	213800	-	-	2020-07-01	109726	-	-	-
263	2020-07-17	SFTR	2020-09-04	SFTR	SB	1225	24235	ACPT	-	3	NEWT	-	2020-07-17T07:30:00Z	213800	-	0788	2020-07-01	232005	-	0.01	-
264	2020-07-17	SFTR	2020-09-04	SFTR	SB	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	-	2020-09-04T09:30:58Z	213800**	213800WS3U9/IM4QR40	-	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:

Entry Id	Registration number
Created Date	Record creation date
Created By	SFTR
Last Update Date	Record update date
Last Update By	SFTR
Pcd	FLAG : SB /RA/SL
Filedata id	Field for internal use
Submission Id	File submission code given by the system
Ent Status	ACPT (Accepted), RJCT (Rejected)
Ent Errors	Upload errors
Leg	1,2,3,4
Actiontype	NEWT , MARU
Techrcrdid	Record SN in Clearing System
Rptgdttm	Report timestamp

Rptgctrpty Lei	Reporting counterparty LEI
Othrcrpty Lei	Other counterparty LEI
Othrcrpty Clntid	Clearing System client code of the other counterparty
Evtddt	Event date
Collprtflid	Collateral Portfolio ID
Initlmrgnpsd	Initial Margin Posted
Vartnmrgnpsd	Variation Margin Posted
Xcsscollpsd	Excess Collaterals Posted
Initlmrgnrcvd	Initial Margin Received
Vartnmrgnrcvd	Variation Margin Received
Xcsscollrcvd	Excess Collaterals Received
Invoice firm id	Client's report number
Invoice firm lei	Client's LEI
Invoice firm sat cd	Clearing Member code in Clearing System

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

Entry Id	Submission Id	Ent Status	Ent Errors	Leg	Actiontype	Lvltp	Techrcrid	Rptgdtm	Rptgctrpty Lei	Rptgctrpty Clntid	Rptgctrpty Ntr	Rptgctrpty Classctn	Rptgctrpty Invsmlndclsctn	Rptgctrpty Sd	Rptgctrpty Brnch Ctry	Othrcrpty Lei	Othrcrpty Clntid	Othrcrpty Brnch Ctry	Unqtradr
24099	24131	ACPT	-	2	VALU	PSTN	-	2020-07-10T17:20:21Z	2138000	-	F	INVF	-	GIVE	-	2138000WSUBIMIAQR40	-	-	ED1XADEP00
24103	24131	ACPT	-	2	VALU	PSTN	-	2020-07-10T17:20:21Z	2138000	-	F	INVF	-	GIVE	-	2138000WSUBIMIAQR40	-	-	ED1XADEP00
24108	24126	ACPT	-	3	VALU	PSTN	-	2020-07-10T17:20:21Z	2138000	-	F	INVF	-	GIVE	-	-	060	-	ED1XADEP00
24110	24126	ACPT	-	3	VALU	PSTN	-	2020-07-10T17:20:21Z	2138000	-	F	INVF	-	GIVE	-	-	060	-	ED1XADEP00
24113	24132	ACPT	-	3	VALU	PSTN	-	2020-07-	2138000	-	F	INVF	-	GIVE	-	2138000WSUBIMIAQR40	0708	-	ED1XADEP00

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:

Entry Id	Registration number
Submission Id	File submission code given by the system
Ent Status	ACPT (Accepted), RJCT (Rejected)
Ent Errors	Upload errors
Leg	1,2,3,4
Actiontype	VALU,MODI,POSC
Lvltp	TCTN , PSTN
Techrcrid	Record registration number
Rptgctrpty Lei	LEI of the legal entity responsible for the report
Rptgctrpty Clntid	Clearing System client code
Rptgctrpty Ntr	Nature of the reporting counterparty
Rptgctrpty Clssfctn	Sector of the reporting counterparty
Rptgctrpty Invstmtfndclssfctn	Additional sector classification
Rptgctrpty Sd	TAKE,GIVE
Rptgctrpty Brnch Ctry	Registered office of the branch of the legal entity submitting the report
Othrcrpty Lei	LEI του αντισυμβαλλόμενου
Othrcrpty Clntid	Clearing System client code of the other counterparty
Othrcrpty Brnch Ctry	Registered office of the branch of the other counterparty of the report
Unqtradidr	UTI-PUTI
Evttdt	Event date
Exctndttm	Execution date
Scty Id	Security ISIN
Scty Clssfctntp	Security CFI
Scty Qty	Security Quantity
Scty Unitpric	Security closing price int ATHEX
Created Date	Report creation date
Created By	SFTR
Last Update Date	Date of the most recent update of the report
Last Update By	SFTR
Prtflcd	Portfolio code
Mktval	Market Value

Lnval	Loan Value
Scty Issr Lei	LEI of the issuer
Scty Type	Security Type
Clrdttm	Clearing Timestamp
Valdt	Value Date
Othctrpty ctrycd	Other counterparty registered office
Scty issr jursdctnctry	Security issuer registered office
Nttypnsblforrpt	LEI of the legal entity responsible for the report
Clrmmmb	LEI of the Clearing Member submitting the report
Brkr	Broker ID
Pcd	FLAG: SB /RA/SL
Fileddata id	Field for internal use