



Nasdaq Member Portal™

Short Code Management CSV File Format Specification

Nordic



Nasdaq Member Portal™

1.0.1000

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1 Summary of Changes

Changes between this version and version a10 (1.0.1000).

No	Changes	Comment
1	Format changes in tables	

2 Overview

This document describes the file-based management of shortcode mappings for the Nasdaq Shortcode management service, which is to be used for facilitating MiFID II Order Record Keeping.

The following services are available in the Member Portal user interface and over SFTP:

- Upload shortcode mappings for order record keeping
- Download result/confirmation files for uploads
- Download reconciliation files

2.1 Fundamentals

This chapter surveys the fundamentals of the file-based management of shortcode mappings.

2.1.1 Format

All data is **CSV** format, separator is comma (ascii 44). Character encoding is UTF-8.

If a payload value contains the comma character, it must be enclosed in double quotes. If double-quotes are used to enclose fields, a double-quote appearing inside a field must be escaped by preceding it with another double quote.

Files **do not** contain a header row.

Columns the values of which are marked as non-mandatory are conveyed by a zero-length string (such as „) when empty.

References: RFC4180

2.1.2 Information Scope

A file is associated with one and only one (Member Portal -) Membership. A file may contain shortcode mappings for one or several participants associated with that membership. Each record in a file is valid only for the specified participant, defined as the combination of exchange code and Participant ID (MPID).

2.2 Process

This chapter describes the process with which CSV files are handled.

2.2.1 Upload

Members have the option of uploading CSV files containing shortcode mappings to a file store area, either through SFTP or manually through the Member Portal GUI. These files are handled asynchronously in the background and its data reported in the Member Portal. When uploading a file to the SFTP, a temporary prefix must be used in the filename (i.e. tmp_). When the file is completely uploaded, the file should be renamed with the file name prefix mapping the file content (see 3.1.1). This is to prevent files from being processed before they have been fully uploaded. Each file uploaded to the SFTP account needs to have a unique filename, duplicates won't be processed again.

2.2.1.1 Error Handling

After a file has been processed, a result file will be available on the file area containing results on business-level for each record processed.

A file that cannot be parsed or handled due to syntactical errors will not produce a result file, but confirmation of the file reception can be visible in the Member Portal web, together with a possible error message.

2.2.1.2 Download

On a file-store area members may download files generated by Nasdaq, such as mapping result files and reconciliation result files. On SFTP, these files are retained for 24 hours.

3 File Specifications

3.1 Short Code Mapping File

Identities are to be sent in CSV format, see subchapter [Columns on page 7](#). The file size may not exceed 100 MB. If larger amounts of data are to be sent, the client needs to divide the data into several files.

3.1.1 File Name

File name must follow the pattern

```
sci_<unique file id for member>.csv
```

When uploading a file to the SFTP, a temporary prefix must be used in the filename (i.e. tmp_). When the file is completely uploaded, the file should be renamed with the file name prefix mapping the file content (sci_). This is to prevent files from being processed before they have been fully uploaded.

3.1.2 Columns

Table 1: Columns

Column Number	Column Content	Description	Format/Values	Mandatory?	Example
1	exchange	Alphanumeric value for Exchange identification.	2 or 4 alphanumeric	Y	INET
2	mpid	String value for MPID.	1..5 alphanumeric	Y	ABCD
3	code type	Client or Decision Maker Shortcode series.	Client-Person Client-Entity ExecutionDecisionMaker-Algo ExecutionDecisionMaker-Person InvestorDecision Maker-Person InvestorDecision Maker-Algo	Y	Client-Person
4	shortcode	Shortcode numeric value.	4 ... 4 294 967 295	Y	10000123
5	longcode	The private identifier value.	alphanumeric. If Codetype equal Client-Entity then exactly 20 characters is allowed. All other codetypes have maximum 50 characters.	Y	SE197711101234
6	begin date	Code effective from date.	YYYY-MM-DD	Y	2017-12-31

Column Number	Column Content	Description	Format/Values	Mandatory?	Example
7	end date	Absent means un- set, valid forever.	YYYY-MM-DD (≥ begin date)	N	
8	alias	Convenience field for member arbitrary use. Max length 32 chars.	1 to 32 alphanumeric May only contain letters A-Ö (case insensitive) and digits, and must start with a letter. Space is not allowed.	N	JohnSmith
9	comment	Convenience field for member arbitrary use. Max length 32 chars.	1 to 32 alphanumeric	N	"customer number 123"
10	<i>update*</i>	Boolean verb specifying an enforced modify of existing item.	Y or N	N	Y

* = The *update* attribute must be set if system allows any of the order-record-keeping attributes (such as longcode or end date). Client is advised to set this flag only when there is an intentional update for a record. Please note that updates of shortcode-mapping records may have retroactive impacts on the trading venue's order-record-keeping.

3.1.3 Examples

```
INET,ABCD,Client-Person,10000121,SE195604081234,2018-01-04,,, "customer
number 121",N
INET,ABCD,Client-Person,10000123,SE197711101234,2017-12-31,,, "customer
number 123",N
ST,EFGH,Client-Person,40000121,SE196507021234,2018-06-01,,,,
```

3.2 Short Code Mappings Result

When an upload file has been processed, the system generates a response file containing the results. Each line in the file “echoes” the key values of the upload content. A line containing only the key values indicates a successful reception of the individual record. If column 8 or 9 is non-empty, this indicates that the line was not processed due to an error. Client should then analyze the error and adjust data before uploading again. For severe errors, such as failure to interpret the file format, a result file may not be processed and a shortcode administrator from the member firm is advised to use the Member Portal GUI, or contact Nasdaq.

3.2.1 File Name

File name pattern:

```
scr_<unique file id for file processed>.csv
```

3.2.2 Columns

Table 2: Columns

Column Number	Column Content	Mandatory?	Example
1	exchange	Y	INET
2	mpid	Y	ABCD
3	code type	Y	Client-Person
4	shortcode	Y	10000123
7	begin date	Y	2018-02-01
8	conflicting begin date	N	2018-01-04
9	error	N	Conflicting with already active code

```
ST,ABCD,Client-Person,10000121,2018-01-04,,
INET,ABCD,Client-Person,10000123,2018-02-01,2018-01-03,"Conflicting
with already active code"
```

3.3 Missing Mappings

Reconciliation file may be produced by Nasdaq at least once each trading day. No missing mappings will result in an empty file.

3.3.1 File Name

File name is prefixed by scm_.

```
scm_<unique file id for member>.csv
```

Customer shall be prepared to receive one consolidated file for the membership, or results broken up in several files per mpid/exchange. This is subject for change and due to configuration in the Nasdaq technical solution, thus the requirement on the customer to handle both.

3.3.2 Examples

```
scm_20180104_183000.csv
scm_INET_ABCD_20180209_183047.csv
scm_ST_ABCD_20180209_183103.csv
```

3.3.3 Columns

Table 3:

Column Number	Column Content	Mandatory?	Example
1	exchange	Y	INET

Column Number	Column Content	Mandatory?	Example
2	mpid	Y	ABCD
3	code type	Y	Client-Person
4	shortcode	Y	1000123
7	use date	Y	2017-01-03

3.3.4 Examples

```
ST,ABCD,Client-Person,10000121,2018-01-03
INET,ABCD,Client-Person,10000121,2018-01-03
ST,ABCD,Client-Person,10000121,2018-01-04
INET,ABCD,Client-Person,10000121,2018-01-04
```