



## **Short Code Administration in the Member Portal**

Nasdaq Nordic, Nasdaq Baltic and Nasdaq Commodities

Version 1.1

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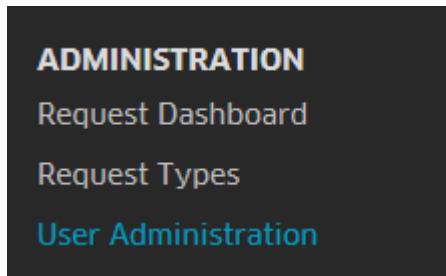
Date	Version	Description of change
2017-11-21	1.0	Initial version
2017-11-27	1.1	Updated National ID to include ISO 3166 Country Code.

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## How to add the Short Code Administration role to users (only possible for Member Administrators)

Once logged in as a Member Administrator to Member Portal, navigate to “User Administration”.

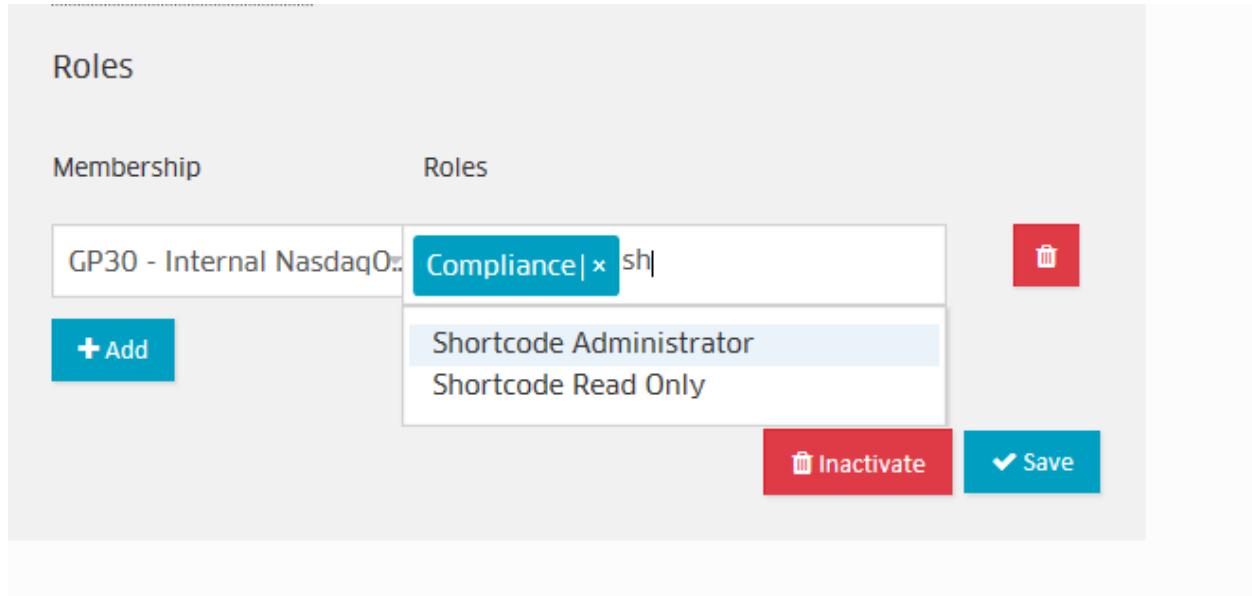


Select the user to whom you would like to add the Short Code Administration role.

A screenshot of the "User Administration" search interface. At the top left, it says "ALL USERS". At the top right, there is a teal button with a plus sign and the text "New User". Below the search bar, there are several input fields and dropdowns: "User Name (only personal emails are allowed)", "Membership", "First Name", "Last Name", "Status" (set to "Active"), and search buttons. To the right of the search buttons is a link "Reset search". Below the search bar is a table with columns: "User Name (only personal emails are allowed) ^", "First Name ^", "Last Name ^", "Job Title ^", "Last login ^", "Roles", and "Membership Roles". A single row of data is shown: "Test", "Test", "Test2", "2017-06-", "Redacted", and "Redacted".

User Name (only personal emails are allowed) ^	First Name ^	Last Name ^	Job Title ^	Last login ^	Roles	Membership Roles
Redacted	Test	Test2	2017-06-	Redacted	Redacted	Redacted

Scroll down to “Roles” and search for the role “Shortcode Administrator”. Once added, press “Save”. Please note that you should not remove the current role(s) the user have.



Roles

Membership Roles

GP30 - Internal NasdaqO...

**+ Add**

**Shortcode Administrator**  
Shortcode Read Only

**Inactivate** **Save**

## How to add the Short Code Administration role to yourself, as a Member Administrator.

Navigate to “My account” in the top right corner.

MEMBER PORTAL

MY ACCOUNT LOG OUT

MEMBER PORTAL

Start Workflow

My Requests

TEST

User Rights

AFME questionnaire: get detailed information on Nasdaq's MiFID II implementation for Cash Markets

Choose User Rights.

User Details Change Password User Rights

TEST

User Rights

AFME questionnaire: get detailed information on Nasdaq's MiFID II implementation for Cash Markets

Under “Request Member Portal Access Change”, add the “Shortcode Administration” role. Once added press “Send”.

Membership Rights

Membership rights give you permission to perform certain tasks on a Membership. You have the following membership rights:

Membership	Roles
TEST - Nasdaq Test GCM. (Commodities)	Member Administrator

Request Member Portal Access Change

Send a request to your member administrator to add or remove access to the Member Portal.

Membership	Roles
TEST - Nasdaq Test GCM. (Commodities)	Member Administrator

+ Add

Send

To accept the request, Navigate to “User Registrations” and open the request just added, “New Permission”.

Once in the request, scroll down to the bottom and in the right corner, press “Accept Request”. The new user can now administer short codes for your membership.

## How to Register a New Identifier (Short code mapping value).

Once logged in as a Short Code Administrator to Member Portal, navigate to “Registered Identifiers”.



Navigate to “New Identifier” in the top right corner.

The screenshot shows the 'REGISTERED IDENTIFIERS' page. On the left is a sidebar with 'MEMBER PORTAL' and 'MY MEMBERSHIPS' sections. The main area has a 'TESTAR TEXT' placeholder. It contains fields for 'Membership' (dropdown), 'MPID' (dropdown), 'Code Type' (dropdown), 'Short Code Value' (text input), 'Long Code' (text input), and 'Alias' (text input). Below these are 'Comments' (text input) and a 'Reset search' link. At the bottom is a search bar with filters: MPID, Code Type, Short Code Value, Long Code, Begin Date, End Date, Alias, Comment, and Transaction Reporting Enrichment. The 'New Identifier' button is located in the top right corner of the main area.

Choose the relevant membership and MPID.

Select a Code Type, depending on what type of code you are registering, in this example Execution Decision Maker - Person.

The Short Code Value is the numerical value entered at Order Entry (it is acceptable to register the identifier after it has been used on orders, as long as it is the same day).

Please note that the first 6 fields are mandatory.

## REGISTER NEW IDENTIFIER

Membership	TEST - Nasdaq Test GCM. (Commodities) 
MPID	TEST 
Code Type	ExecutionDecisionMaker-Person 
Short Code Value	123 
Long Code	<input type="text"/> <ul style="list-style-type: none"><li>• Use standardized format established by ESMA</li><li>• Client-Entity Long Code must be exactly 20 Characters</li></ul>
Begin Date	<input type="text"/>  <ul style="list-style-type: none"><li>• Begin Date required</li><li>• Begin Date must be set before End Date</li><li>• The value must be a valid date. Enter dates as yyyy-mm-dd</li></ul>
End Date	<input type="text"/>  <ul style="list-style-type: none"><li>• Begin Date must be set before End Date</li><li>• shortcode.validation.enddate.after.today</li><li>• The value must be a valid date. Enter dates as yyyy-mm-dd</li></ul>
Alias	<input type="text"/> <ul style="list-style-type: none"><li>• Alias must start with a letter but can contain letters and digits. Only letters A-Z and Å, Ä, Ö are supported. Space is not allowed. Max 32 Characters</li></ul>

## **Example:**

In this example, the Long Code is a hypothetical Swedish National ID. Please note that the National IDs differs between countries. All Long codes should start with an ISO 3166 country code. Please consult [ESMA](#) if unsure of correct format. The table below is an extract from the RTS<sup>1</sup>.

ISO 3166 – 1 alpha 2	Country Name	1st priority identifier	2nd priority identifier	3rd priority identifier
DK	Denmark	Personal identity code 10 digits alphanumerical: DDMMYYXXXX	CONCAT	
EE	Estonia	Estonian Personal Identification Code (Isikukood)		
FI	Finland	Personal identity code	CONCAT	
GB	United Kingdom	UK National Insurance number	CONCAT	
LT	Lithuania	Personal code (Asmens kodas)	National Passport Number	CONCAT
LV	Latvia	Personal code (Personas kods)	CONCAT	
NO	Norway	11 digit personal id (Foedselsnummer)	CONCAT	
SE	Sweden	Personal identity number	CONCAT	

## **REGISTER NEW IDENTIFIER**

Membership: TEST - Nasdaq Test GCM. (Commodities) ✓

MPID: TEST ✓

Code Type: ExecutionDecisionMaker-Person ✓

Short Code Value: 123 ✓

Long Code: SE7505051010 ✓

Begin Date: 2017-11-27 ✓

End Date:

Alias:

Comment:

<sup>1</sup> Members are responsible for the accuracy of the information and for following ESMA's guidelines. Nasdaq is not responsible for the accuracy of the information in the table and this information could be changed at any time by the regulators.

## Reconciliation and Unmapped Short Codes.



The “Unmapped Short Codes” view automatically shows the latest reconciliation of short codes used in orders, quotes and trade reports (when applicable) against the identifiers (long codes) entered in the Member Portal.

Short Codes that have been used in orders or quotes (or trade reports for certain members), but not yet mapped to a Long Code are listed as Unmapped Short Codes.

The begin date needs to be set prior or the same date that the short code was used and the end date is optional (no end date if left blank).

This feature is available intra-day, allowing the Short Code Administrator to always be up-to-date.

To register an identifier for an Unmapped Short Code, click on the Unmapped Short Code to add a long code and the other data associated with the short code. Once finished, press the green button on the right hand side to submit the registration.

## Automated upload of identifiers: File Upload / API

In addition to the procedure described above, Nasdaq also offers three other ways to upload short codes mapping values: WEB Based Rest API, SFTP File upload and in the Member Portal Identifier File Imports tab (csv file).

More information, CSV file specifications and an API Manual can be found on Nasdaq's [Technical Information webpages](#).

**Short Code API Users** can be ordered by a Member Portal Administrator [here\\*](#).

### NEW USER

All fields are mandatory unless marked as optional.

#### User Information

User type

Membership  Short Code API User  Nasdaq

**SFTP File account** can be ordered [here\\*](#).

#### Which Membership?

Which Membership?

All fields are mandatory unless marked as optional.

#### SFTP Access Authorization

Request SFTP Access

Request SFTP Account

\*These links can only work for a logged in user of the Member Portal.

## Contact

For questions, please contact [tradingoperations@nasdaq.com](mailto:tradingoperations@nasdaq.com) for Genium INET and [operator@nasdaq.com](mailto:operator@nasdaq.com) for INET.