



Short Code Administration in the Member Portal

Nasdaq Nordic, Nasdaq Baltic and Nasdaq Commodities

Version 1.1

November 27, 2017

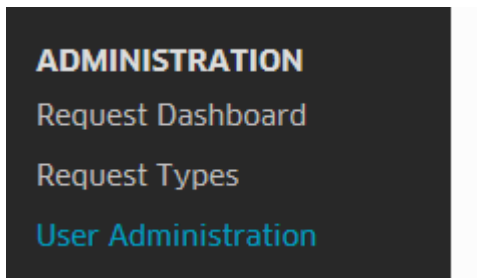
Date	Version	Description of change
2017-11-21	1.0	Initial version
2017-11-27	1.1	Updated National ID to include ISO 3166 Country Code.

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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.

ALL USERS

[+ New User](#)

User Name (only personal emails are allowed)

Membership

First Name

Last Name

Status
 Active

[Reset search](#)

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

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.

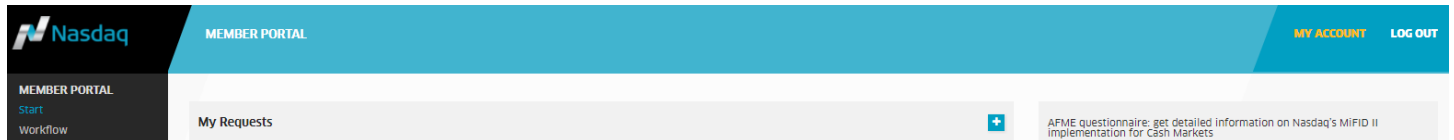
The screenshot displays a web interface for managing roles. It features two main columns: "Membership" and "Roles".

- Membership Column:** Contains a text input field with the value "GP30 - Internal NasdaqOz" and a blue button labeled "+ Add".
- Roles Column:** Contains a search input field with the text "Compliance | x sh". Below this is a dropdown menu showing two options: "Shortcode Administrator" (highlighted) and "Shortcode Read Only".

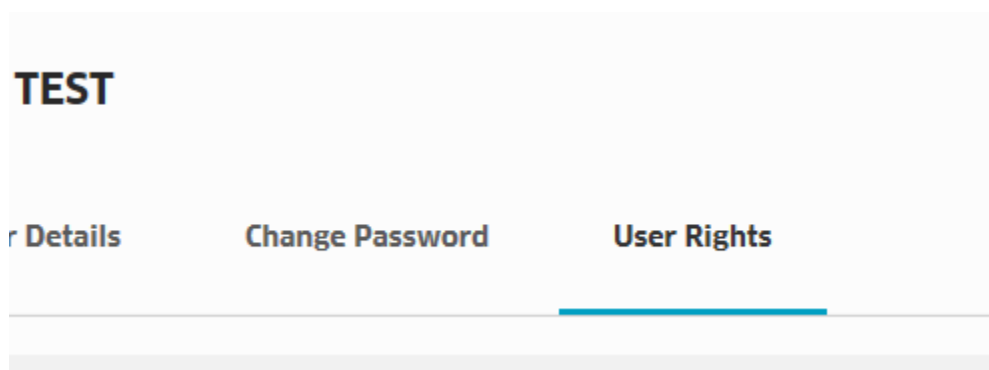
At the bottom right of the interface, there are three buttons: a red button with a trash icon labeled "Inactivate", a blue button with a checkmark icon labeled "Save", and a red button with a trash icon.

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

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



Choose User Rights.



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
 TEST - Nasdaq Test GCM. (Commodities)

Roles
 Member Administrator | x sh|
 Shortcode Administrator
 Shortcode Read Only

+ Add

Send

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

MEMBER PORTAL

Start
Workflow
Notifications Inbox

MY MEMBERSHIPS

Memberships
MPIDs
Traders & IDs
Technical Access
Applications
Algorithm Certification

ADMINISTRATION

User Administration
[User Registrations](#)

USER REGISTRATIONS

Email Membership Status

Email	First name	Last name	Status	Type of Registration	Membership	Phone
			OPEN	New Permission	TEST - Nasdaq Test GCM. (Commodities)	

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.

User Details

Existing user detected, requested user details replaced with existing user

Username

First name

Last name

Phone

Mobile phone

Job title

Userregistration.current.roles

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

Roles

TEST - Nasdaq Test GCM. (Commodities)

Selected roles

Shortcode Administrator | x

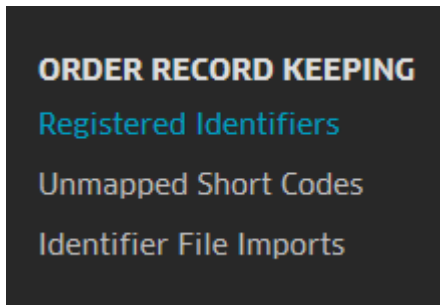
Member Administrator | x

Reject request

Accept request

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.

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

- Use standardized format established by ESMA
- Client-Entity Long Code must be exactly 20 Characters

Begin Date



- Begin Date required
- Begin Date must be set before End Date
- The value must be a valid date. Enter dates as yyyy-mm-dd

End Date



- Begin Date must be set before End Date
- `shortcode.validation.enddate.after.today`
- The value must be a valid date. Enter dates as yyyy-mm-dd

Alias

- 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

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 RTS¹.

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	

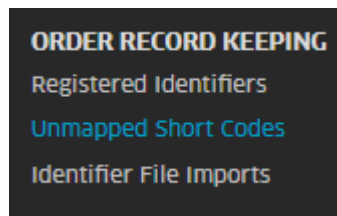
REGISTER NEW IDENTIFIER

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		

Save

¹ 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.

MEMBER PORTAL
Start
Workflow

MY MEMBERSHIPS
Memberships
MPIDs
Traders & IDs
Technical Access
Applications
Algorithm Certification

ORDER RECORD KEEPING
Registered Identifiers
Unmapped Short Codes
Identifier File Imports

ADMINISTRATION
Request Dashboard
Request Types
User Administration

UNMAPPED SHORT CODES

Each Used Date and Short Code value for which there is no matching Long Code will be counted as an Unmapped Short Code. When registering an Identifier Short Code, the Begin Date must be set before or same day as Used Date. Thus, if the same Short Code value has been used multiple days without any register the Identifier for the Unmapped Short Code which has the earliest Used Date. If the validity time of the new Identifier covers also the subsequent Member will then automatically have completed its mappings for the given Short Code.

Membership

MPID

TEST - Nasdaq Test GCM. (Commodities)

TEST

Code Type

Short Code Value

All

Q

MPID	Code Type	Short Code Value	Short Code Used Date	Long Code	Begin Date	End Date
No result						

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 for Genium INET and operator@nasdaq.com for INET.