



# MEMBER PORTAL SFTP SERVICE

## 1. Overview

The Member Portal offers an SFTP service to facilitate for members to administrate their shortcode mappings for MiFID II Order Record Keeping (ORK)<sup>1</sup> and, in the case the member is not themselves subject to MiFIR, to provide Nasdaq with relevant data for Transaction Reporting (TR)<sup>2</sup>. The SFTP service is used for:

- **Adding shortcode mappings (CSV) – ORK and TR shortcode enrichment**
- **Retrieving result files for added shortcode mappings (CSV) – ORK and TR shortcode enrichment**
- **Retrieving file with all missing mappings EOD (CSV) – ORK and TR shortcode enrichment**
- **TR full file submission (XML)**

This document provides a quick overview for how to request and enable access to the SFTP service. Further information on the CSV format specification and the file naming convention is available on the Nasdaq Technical Information website under [Genium INET MiFID II 5.0.0210](#) and [INET Nordic Protocol Specifications](#).

## 2. Access request process

A Member Administrator can request SFTP access for ORK in Member Portal under the *SFTP Short Codes* tab. (If the customer is enabled for TR full file submission, a separate SFTP tab will be available in the same view):

The screenshot shows the Nasdaq Member Portal dashboard. The left sidebar contains links for MEMBER PORTAL (Start, Workflow), MY MEMBERSHIPS (Memberships, MPIDs, Traders & ID:s, Technical Access, Applications, Algorithm Certification), and ORDER RECORD KEEPING (Registered Identifiers). The main content area has a teal header 'MY MEMBERSHIP'. Below it, the 'MEMPO TRADING' section is visible, with tabs for Overview, Contacts, MPIDs, Portal Users, Key Account Managers, and SFTP Short Codes (which is underlined in blue). At the bottom of this section, there are two buttons: 'Request SFTP Access' and 'Click here to request SFTP Access'.

<sup>1</sup> For further information, please consult the ***Nasdaq Implementation Guide for Order Record Keeping***, available on the Nasdaq Technical Information website

<sup>2</sup> For further information, please consult the ***Nasdaq Implementation Guide for Transaction Reporting***, available on the Nasdaq Technical Information website

The screenshot shows the Nasdaq Member Portal interface. On the left is a dark sidebar with the Nasdaq logo and navigation links for 'MEMBER PORTAL', 'MY MEMBERSHIPS', and 'ADMINISTRATION'. The main content area has a blue header 'MEMBER PORTAL'. Below it is a navigation bar with 'START', 'REQUEST DASHBOARD', 'NEW REQUEST LIST', and 'NEW REQUEST'. The main content is titled 'NEW REQUEST - SHORT CODE SFTP AUTHORIZATION'. It contains a 'Which Membership?' dropdown, a note that 'All fields are mandatory unless marked as optional.', and a 'SFTP Access Authorization' section with a 'Request SFTP Access' checkbox. At the bottom are 'Save a draft' and 'Send' buttons.

When the request has been submitted, the user will be notified as soon as Nasdaq has processed and closed the request.

### 3. Member SFTP management process

When SFTP access has been granted, an account is created immediately and its details are available under the same SFTP tab:

The screenshot shows the Nasdaq Member Portal 'MEMPO TRADING' section. The left sidebar includes 'MEMBER PORTAL', 'MY MEMBERSHIPS', and 'ORDER RECORD KEEPING' sections. The main content has tabs for 'START', 'MEMBERSHIPS', and 'MEMPO TRADING'. Under 'MEMPO TRADING', there are tabs for 'Overview', 'Contacts', 'MPIIDs', 'Portal Users', 'Key Account Managers', and 'SFTP Short Codes', with 'SFTP Short Codes' being the active tab. The 'SFTP Account' section displays an account with 'Account Name: SC\_894' and 'Created: 2017-10-05 10:53:49'. A 'Key Alias' input field and a 'Add New Key' button are on the right.

The Member creates its own SSH keys and associated passphrases for the SFTP account. An account can have multiple keys set up. To add a new key, assign a Name and click *Create Key*.

The screenshot shows a 'Add New Key' dialog box. It has a 'Key Alias' input field containing 'Key Alias' and a 'Create Key' button with a plus sign.

A passphrase is automatically generated for the private key:

## Keys

### FirstKey

Created 2017-10-04 16:17:04

Key Link [Click here to download key](#)

Passphrase J8r9XDhcwZmTKwtDbg6758W9ANSbGtqP2MibK7QKT14=  
[Copy Passphrase to Clipboard](#)

 Delete Key

 Recreate Key

A key can be recreated or deleted at any time

## 4. SFTP login details

### Member Portal PRODUCTION:

SFTP Host Name: <ftp.memberportal.nasdaq.com>

SFTP Port: **22**

### Member Portal ORK Test:

SFTP Host Name: <ftp.memberportal-ext-test.nasdaq.com>

SFTP Port: **22**