

Transaction Reporting pursuant to Article 26 MiFIR

Online Registration Tool

Version 1.1

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1. REGISTRATION

1.1. APPLICATION FOR AN ACCOUNT

All institutions in Austria that are required to make reports pursuant to Article 26 MiFIR, including operators of trading venues pursuant to Article 26(5) MiFIR, but not however approved reporting mechanisms (ARMs) are required to register using the FMA's Transaction Reporting Online Registration Tool.

<https://webhost.fma.gv.at/TRSYS>


In order to successfully register for an account, all fields marked with an asterisk (*) must be filled.

It is requested that group e-mail addresses are not to be used for the registration purpose, but that registration should be carried out using a personal e-mail address. Attempting to register using a group e-mail address may lead, as is also the case with registration using an anonymous e-mail address (e.g. a Gmail, GMX or similar address), to the application for the account being rejected. The individual users are subsequently linked with another by means of the entity's LEI, so that it is also possible to see from within the entity who is authorised to make reports.

The relevant telephone number is required to be entered in the format shown (+43 1 249590) when registering.


Passports, driving licences and personal identification documents are permitted as proof of identity. The filename should only consist of A-Z, a-z or 0-9. Any other characters within the filename will be rejected.

In addition the user must also submit an authorisation that proves that the user is authorised to make reports on behalf of the named entity. This may either take the form of a signatory list, provided that the user is authorised to undertake such account applications on behalf of the entity, or otherwise in the form of a signed authorisation by an authorised party (e.g. an authorised signatory). Such a form may be downloaded from the FMA website.



ÖSTERREICHISCHE

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Startseite
Registrierung
Verschlüsselung
Meldezuordnung
Kontaktpersonen
Meldateien
Mein Account

Alle Felder mit (*) sind Pflichtfelder.

Registrierung

EMAIL (*)

Vorname (*)

Nachname (*)

Geschlecht (*) (Wählen)

Abteilung (*)

Funktion (*)

Telefonnummer (*)

Form: +43 1 249590

LEI (*)

Unternehmen (*)

Bankleitzahl

Ländercode (*) (Wählen)


Ausweissdokument (*)

Firmenbuchauszug (*)

Bevollmächtigung (*)

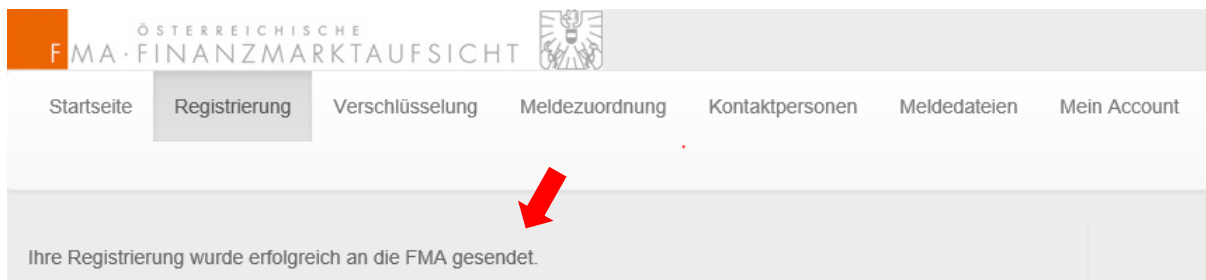
Sonstiges

Ich bin kein Roboter.



reCAPTCHA
Datenschutzerklärung · Nutzungsbedingungen

The application may be submitted once the relevant fields have been completed correctly and fully. The user will then be informed that the registration has been successfully sent to the FMA and additionally a confirmation is sent to the registered e-mail address.



The registration will then be checked by the specialist department at the FMA. Once the checks have been concluded, the user will be informed again by e-mail whether the registration has been authorised or rejected. Potential grounds for rejection may among others include:

- an e-mail address has already been registered
- an invalid e-mail address (anonymous e-mail addresses e.g. Gmail, GMX addresses etc.)
- missing or incomplete documents

In the event that the registration is rejected, than the complete registration process must be repeated.

1.2. SETTING A PASSWORD

As soon as authorisation has been granted by the FMA's specialist department, the user is informed by e-mail and then receives a link to assign a password. Another link must then be requested by entering the registered e-mail address again.

Passwort vergessen / neu vergeben?
Geben Sie Ihre Mailadresse ein.

Email

A password may be assigned for the registered account using the link that is now received by e-mail.

Passwort setzen / ändern.
 Vergeben Sie das Passwort.

Email

Passwort

Passwort bestätigen

Das Passwort muss

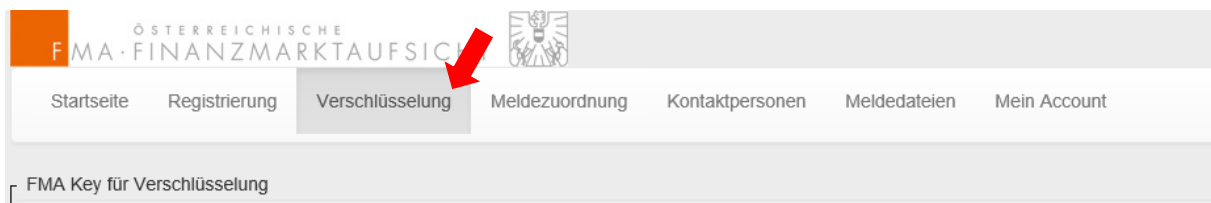
- mindestens 8 Zeichen lang sein
- mindestens 1 numerisches Zeichen enthalten
- mindestens 1 Großbuchstaben enthalten
- mindestens 1 Kleinbuchstaben enthalten

Once the password has been successfully set, the Online Registration Tool can be used fully, and all other relevant data captured.

2. ENCRYPTION

The securities transaction reports will be encrypted within the XML envelope and submitted as a Base64 encoded XML element.

GNU-PGP is used for encrypting the data. The corresponding FMA Encryption Key is visible in the tab "Verschlüsselung".



The encryption ensures that the external administrators within the BUSCON services are not able to read the transaction reports, which contain detailed information about the bank's customers.

Feedback messages from the FMA will be sent to the institution under reporting obligations in unencrypted form to the relevant mailbox, as they do not contain any sensitive data.

3. ASSIGNMENT OF REPORTS (MELDEZUORDNUNG)

3.1. ADD NEW REPORTER (NEUANLAGE)

The identity of the person who makes the reports to the FMA must now be entered in the tab "Meldezuordnung"

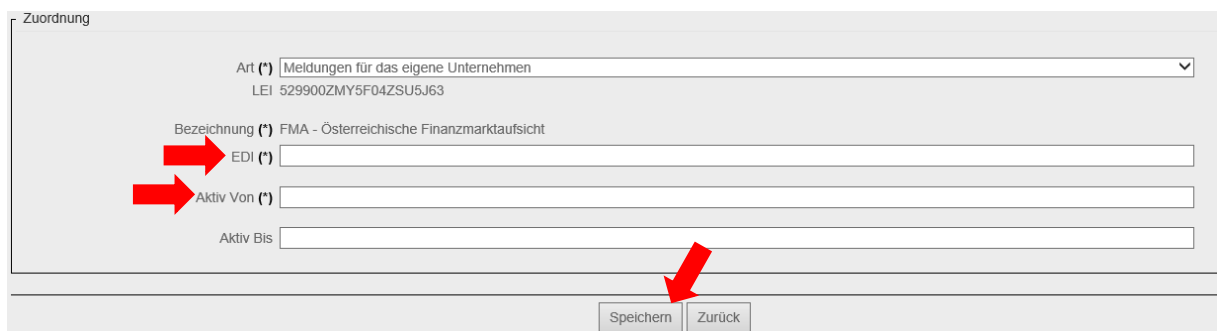


Reports can be made through one or three different types:

- Reports made by the entity itself (Meldungen für das eigene Unternehmen)
- ARM reporting on behalf of the entity (ARM meldet für das Unternehmen)
- Trading venue reporting for (Handelsplatz meldet für)

3.1.1. REPORTS MADE BY THE ENTITY ITSELF (MELDUNGEN FÜR DAS EIGENE UNTERNEHMEN)

Both the LEI as well as the designation are filled in automatically. All that needs to be entered here are the EDI address of your entity as well as the time from when reports are submitted.



3.1.2. ARM REPORTING ON BEHALF OF THE ENTITY (ARM MELDET FÜR DAS UNTERNEHMEN)

In the case of reporting duties being outsourced to an ARM (the last entity in the reporting chain) both the LEI as well as the EDI address of the ARM are required. Thereafter the field "Aktiv von" (active from) should also be filled out accordingly.

Zuordnung

Art (*) ARM meldet für das Unternehmen

LEI (*)

Bezeichnung (*)

EDI (*)

Aktiv Von (*)

Aktiv Bis

Speichern Zurück

3.1.3. TRADING VENUE REPORTING FOR (HANDELSPLATZ MELDET FÜR)

If a trading venue makes the report on behalf of an institution in accordance with Article 26 (5) MiFIR, then the LEI of this institution and the EDI address of the trading venue is to be entered.

Zuordnung

Art (*) Handelsplatz meldet für

LEI (*)

Bezeichnung (*)

EDI (*)

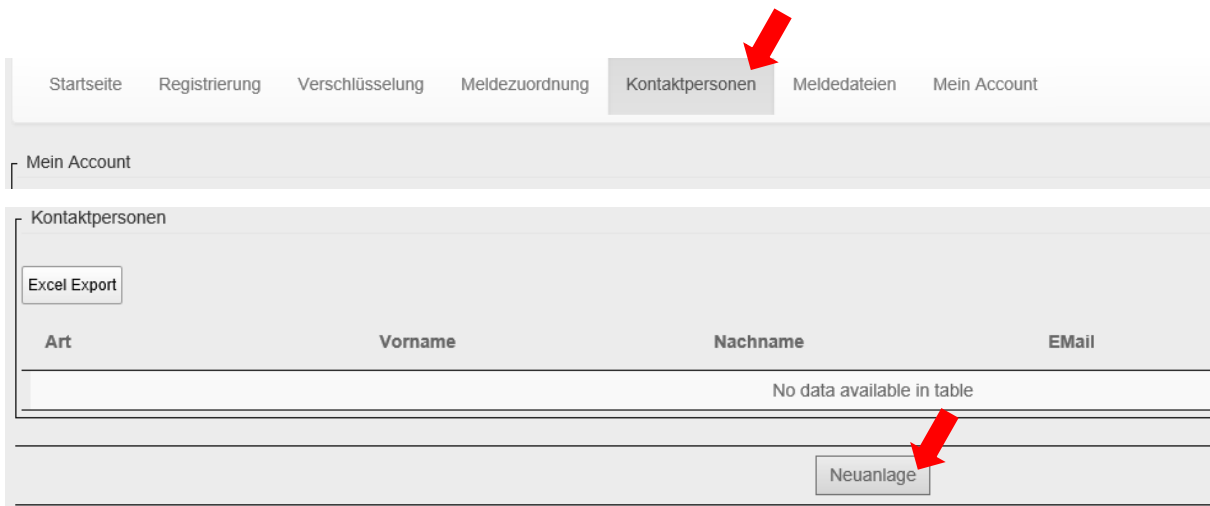
Aktiv Von (*)

Aktiv Bis

Speichern Zurück

4. CONTACT PERSONS (KONTAKTPERSONEN)

The institutions are required to provide the details about contact persons to whom ongoing enquiries may be addressed (on or off floor trading matching, reporting deadline breaches etc.) ad hoc enquiries (demands for information, ad hoc investigations etc.) as well as to field technical enquiries, as otherwise the person is always contacted who has registered in the tool.



Startseite Registrierung Verschlüsselung Meldezuordnung **Kontaktpersonen** Meldedateien Mein Account

Mein Account

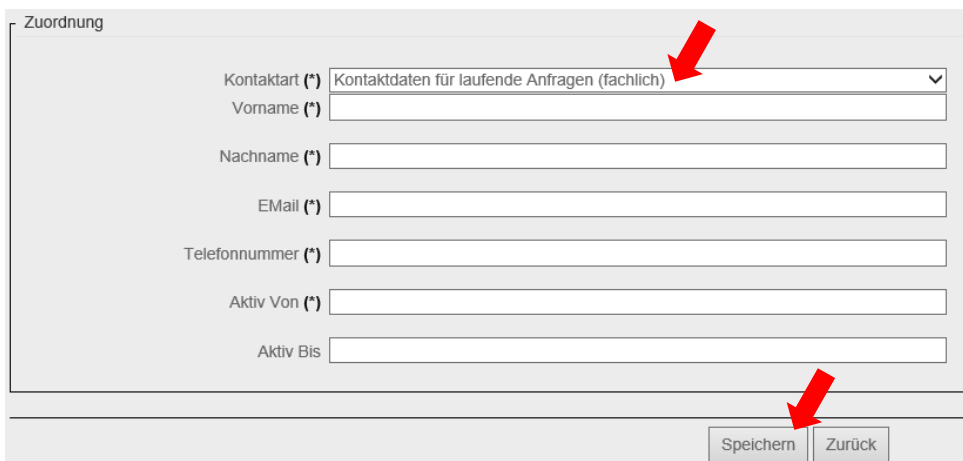
Kontaktpersonen

Excel Export

Art	Vorname	Nachname	E-Mail
No data available in table			

Neuanlage

It is necessary to first of all enter for what specific enquiries the person is responsible. Thereafter the name, e-mail address and a telephone number are also required. In the case that one and the same person is responsible for several areas, then the details must be entered as many times as the person has different roles. In the event that a group e-mail address is used, then the name of the team or the division must be entered in the forename and surname fields (Vorname and Nachname).



Zuordnung

Kontaktart (*) Kontaktdaten für laufende Anfragen (fachlich)

Vorname (*)

Nachname (*)

E-Mail (*)

Telefonnummer (*)

Aktiv Von (*)

Aktiv Bis

Speichern Zurück

The fields "Active from/until" (Aktiv Von/Bis) may be used to indicate whether it is a current contact.

Aktiv Von (*) 07.07.2017

Aktiv Bis

Juli 2017

So	Mo	Di	Mi	Do	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

Speichern

5. REPORTING FILES (MELDEDATEIEN)

Here it is possible to check whether files have been submitted to the FMA for the respective registered entity. Here it is however only visible whether the FMA has received the file or the status (File processed/File rejected). This tool does not however check the content of the files.

Startseite Registrierung Verschlüsselung Meldezuordnung Kontaktpersonen **Meldateien** Mein Account

Meldefiles

Firmenbezeichnung: FMA - Österreichische Finanzmarktaufsicht LEI: 529900ZMY5F04ZSU5J63

Zeitraum

Datum von 01.04.2017 Datum bis 30.06.2017 Anzeigen

The file status is updated as soon as the file is processed within the FMA. The standard view displays a three month period of time, although this can be extended to any duration.

6. MY ACCOUNT (MEIN ACCOUNT)

The tab "Mein Account" shows which people have been registered for the entity.

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Startseite Registrierung Verschlüsselung Meldezuordnung Kontaktpersonen Meldedateien **Mein Account**

It is also possible to manage the respective authorisations and for example to deactivate employees who no longer work for the entity.

Für mein Unternehmen berechtigt:

Vorname	Nachname	Abteilung	Funktion	Telefonnummer	E-Mail	Aktiv
Max	Mustermann	Settlement		+43 1 249590		J

Deaktivieren