

Artikel 26 Transaktionsmeldung Definition und Validierung

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Inhaltsverzeichnis

Inhaltsverzeichnis	2
Template Nutzung	3
Import Format Excel	3
Import Format.csv	3
Spalteninhalte Import (.csv und Excel)	3
Wichtiges vorweg:	3
Zellvalidierung	8
Zellenübergreifen Validierung	13
Referenzen Regulatorik	28
Hinweise	28
MiFIR Meldetool Fehlerquellen	28
Pflichtfelder	28
Stornierung einer Transaktion	29
Sonderzeichen & Umlaute	29
Feld 2 "Transaction Reference Number"	29
Datum	29
Feld 28 "Trading date time"	30
Feld 29 "Trading capacity"	30
Felder 33 und 52, „Price“ und "Strike price currency"	30
LEI	30
Concat	30

Template Nutzung

Import Format Excel

Das Konvertieren des Excel Dokumentes findet per Default im zweiten Worksheet statt, außer es wurde anders konfiguriert, und **beginnt mit der Zeile 4** (das ist die erste Zeile unterhalb der Spaltenüberschriften). Bei strukturell veränderter Tabelle wird keine Funktionalität garantiert. Das Worksheet mit Namen „Referenzen“ beinhaltet Angaben zu der implementierten Logik. Das Worksheet „Beispiele“ beinhaltet Beispiele zu dieser zusätzlichen Logik.

Import Format.csv

Die erste Zeile des csv Formats enthält eine Überschrift oder Feldbeschreibungen. Diese Zeile wird vom Konverter ignoriert.

Eine Zeile enthält 65 Spalten getrennt durch pipe |. Ist die Anzahl der Spalten nicht 65, so gilt die Zeile als fehlerhaft. Die CSV Datei wird im UTF8 Format erwartet. Zeilenwechsel wird über „\n“ (ODOA) erwartet.

Spalteninhalte Import (.csv und Excel)

Wichtiges vorweg:

- Timestamp: Beispiel: „2025-03-22T14:40:00Z“ (z.B. „Trading date time“)
- Datumsformat: Beispiel: 2025-03-22 (z.B. „date of birth“)
- Trennzeichen für Dezimalwerte ist der Punkt „.“.

Feld	Name	Regel	
		Auswahl	Bedeutung
1	Report Status	NEW	neue Transaktion
		CXL	Stornierung einer Transaktion
2	Transaction Reference Number	Referenznummer des Geschäfts	
3	Trading venue transaction identification code	Vom Handelsplatz vergebener Identifikationscode für das Geschäft	
4	Executing entity identification code	Identifikationscode der ausführenden Einrichtung (LEI)	
5	Investment Firm covered by Directive 2014/65/EU	TRUE	Wertpapierfirma fällt unter die Richtlinie 2014/65/EU
		FALSE	Wertpapierfirma fällt nicht unter die Richtlinie 2014/65/EU
6	Submitting entity identification code	Identifikationscode der einreichenden Einrichtung (LEI)	
7	Buyer identification code	INTC	Bezeichnung für ein Kundensammelkonto in der Wertpapierfirma
		LEI:	Angabe durch LEI
		CCPT:	Angabe durch CCPT
		CONCAT:	Angabe durch CONCAT
		NIDN:	Angabe durch NIDN

		MIC:	Angabe durch MIC
8	Country of the branch for the buyer	Land der Zweigniederlassung für den Käufer	
9	Buyer - first name(s)	Vorname des Käufers	
10	Buyer - surname(s)	Nachname des Käufers	
11	Buyer - date of birth	Geburtsdatum des Käufers	
12	Buyer decision maker code	LEI:	Angabe durch LEI
		CCPT:	Angabe durch CCPT
		CONCAT:	Angabe durch CONCAT
		NIDN:	Angabe durch NDIDN
13	Buy decision maker - First Name(s)	Vorname des Entscheidungsträgers, des Käufers	
14	Buy decision maker – Surname(s)	Nachname des Entscheidungsträgers, des Käufers	
15	Buy decision maker - Date of birth	Geburtsdatum des Entscheidungsträgers, des Käufers	
16	Seller identification code	INTC	Bezeichnung für ein Kundensammelkonto in der Wertpapierfirma
		LEI:	Angabe durch LEI
		CCPT:	Angabe durch CCPT
		CONCAT:	Angabe durch CONCAT
		NIDN:	Angabe durch NDIDN
		MIC:	Angabe durch MIC
17	Country of the branch for the seller	Geburtsland des Verkäufers	
18	Seller - first name(s)	Vorname des Verkäufers	
19	Seller - surname(s)	Nachname des Verkäufers	
20	Seller - date of birth	Geburtsdatum des Verkäufers	
21	Seller decision maker code	LEI:	Angabe durch LEI
		CCPT:	Angabe durch CCPT
		CONCAT:	Angabe durch CONCAT
		NIDN:	Angabe durch NDIDN
22	Seller decision maker - First Name(s)	Vorname des Entscheidungsträgers, des Verkäufers	
23	Seller decision maker – Surname(s)	Nachname des Entscheidungsträgers, des Verkäufers	
24	Seller decision maker - Date of birth	Geburtsdatum des Entscheidungsträgers, des Verkäufers	
25	Transmission of order indicator	TRUE	Dieser Auftrag ist übermittelt worden
		FALSE	Dieser Auftrag ist nicht übermittelt worden
26	Transmitting firm identification code for the buyer	LEI der übermittelnden Firma für den Käufer	

27	Transmitting firm identification code for the seller	LEI der übermittelnden Firma für den Verkäufer	
28	Trading date time	Datum und Uhrzeit wann die Transaktion ausgeführt wurde	
29	Trading capacity	DEAL	Handel für eigene Rechnung
		MTCH	Matched Principals
		AOTC	andere Kapazität
30	Quantity	UNT:	Angabe durch Stückzahl, Angabe „0“ ist nicht gestattet
		NOM:	Angabe durch Nomialwährung
		MON:	Angabe durch Gelder (Monetary)
31	Quantity currency	Währung der Menge	
32	Derivative notional increase/decrease	INCR	Erhöhung des Nominalbetrags des Derivats
		DECR	Verringerung des Nominalbetrags des Derivats
33	Price	PNDG	Preis ist in der Schwebelage oder nicht verfügbar
		NOAP	Preis ist nicht anwendbar
		PC:	Angabe durch Prozentnotierung
		MV:	Angabe durch Währungspreis
		YLD:	Angabe durch Rendite (Yield)
	BP:	Angabe durch Basispunkte	
34	Price Currency	Währung des Preises	
35	Net amount	Nettobetrag	
36	Venue	Handelsplatz	
37	Country of the branch membership	Land der Mitgliedschaft der Zweigniederlassung	
38	Up-front payment	Zahlung bei Abschluss	
39	Up-front payment currency	Währung der Zahlung bei Abschluss	
40	Complex trade component id	ID für Bestandteile eines komplexen Geschäfts	
41	Instrument identification code	Kennung des Finanzinstruments (ISIN)	
42	Instrument Full Name	Vollständige Bezeichnung des Instruments	
43	Instrument classification	Klassifizierung des Instruments (CFI-CODE)	
44	Notional currency 1	Nennwährung 1	
45	Notional currency 2	FX:	Angabe durch 'Foreign Exchange'
		INTRST:	Angabe durch 'Interest'
46	Price multiplier	Preismultiplikator	
47	Underlying instrument code	Code des Basisinstruments (*)	
		SWAP:	Angabe durch Swap
		OTHR:	anderweitige Angabe
Beispiele: SWAP: +{0: DE000A2DASD4, AT0000A1AWE4}; -{0: BG11FOKAAT18}			

		oder OTHR:{0: AT0000A1KVF2}	
48	Underlying index name	Bezeichnung des Basisindexes (*)	
		Beispiele: Wenn Feld 47 mit SWAP: eingetragen ist: +{0:DAX 30};-{0:IBEX 35} Wenn Feld 47 mit OTHR: eingetragen ist: {0:DAX 30}	
49	Term of the underlying index	Laufzeit des Basisindexes (*)	
		DAYS#	Angabe in Tagen
		WEEK#	Angabe in Wochen
		MNTH#	Angabe in Monaten
		YEAR#	Angabe in Jahren
		Beispiele: bei Swap: +{0:MNTH#3};-{0: MNTH#3} bei OTHR: {0: MNTH#3}	
48 - 49	Underlying instrument	Für diese Angabe muss Feld 47 mit einer Option befüllt sein. Es reicht die alleinige Option aus, falls keine ISINs angegeben werden.	
50	Option type	Art der Option	
		PUTO	Put
		CALL	Call
		OTHR	nicht ersichtlich ob Put oder Call
51	Strike price	Ausübungspreis	
		PNDG	Preis ist in der Schwebe oder nicht verfügbar
		PC:	Angabe durch Prozentnotierung
		MV:	Angabe durch Währungspreis
		YLD:	Angabe durch Rendite (Yield)
		BP:	Angabe durch Basispunkte
52	Strike price currency	Währung des Ausübungspreises	
53	Option exercise style	Art der Option (mögliche Ausübung)	
		EURO	European
		AMER	American
		ASIA	Asian
		BERM	Bermudan
		OTHR	alle anderen Typen
54	Maturity date	Fälligkeitstermin	
55	Expiry date	Ablaufdatum	
56	Delivery type	Art der Lieferung	
		PHYS	Physically settled
		CASH	Cash settled
		OPTL	Optional for counterparty or when determined by a third party
57		Anlageentscheidung innerhalb der Firma	

	Investment decision within firm	CCPT:	Angabe durch CCPT
		CONCAT:	Angabe durch CONCAT
		NIDN:	Angabe durch NDIDN
		ALGO:	Angabe durch Algorithmus
58	Country of the branch responsible for the person making the investment decision	Land der Zweigniederlassung, die für die Person verantwortlich ist, die die Anlageentscheidung trifft	
59	Execution within firm	Ausführung innerhalb der Firma	
		CCPT:	Angabe durch CCPT
		CONCAT:	Angabe durch CONCAT
		NIDN:	Angabe durch NDIDN
		NORE	Entscheidung wurde außerhalb der Firma getroffen
ALGO:	Angabe durch Algorithmus		
60	Country of the branch supervising the person responsible for the execution	Land der Zweigniederlassung, die die Aufsichtsverantwortung für die für die Ausführung verantwortliche Person hat	
61	Waiver indicator	Ausnahmeindikator	
		RFPT	Reference price
		NLIQ	Negotiated (liquid)
		OILQ	Negotiated (illiquid)
		PRIC	Negotiated (conditions)
		ILQD	Illiquid instrument
62	Short selling indicator	Leerverkaufs-indikator	
		SESH	Short sale with no exemption
		SSEX	Short sale with exemption
		SELL	No short sale
		UNDI	Information not available
63	OTC post-trade indicator	OTC-Nachhandelsindikator	
		BENC	Benchmark
		ACTX	Agency cross
		LRGS	Large in scale
		ILQD	Illiquid instrument
		SIZE	Above specified size
		CANC	Cancellations
		AMND	Amendments
		SDIV	Special dividend
		PRIC	Price improvement
		DUPL	Duplicative
TNCP	Not contributing to the price discovery process		

		, - -){1,140}"
24	Seller decision maker - Date of birth	"^[0-9]{4}-[0-1][0-9]-[0-3][0-9]"
25	Transmission of order indicator	TRUE
		FALSE
26	Transmitting firm identification code for the buyer	"^[A-Z0-9]{18}[0-9]{2}b\$"
27	Transmitting firm identification code for the seller	"^[A-Z0-9]{18}[0-9]{2}b\$"
28	Trading date time	"^[0-9]{4}-[0-1][0-9]-[0-3][0-9]T[0-2][0-9]:[0-6][0-9]:[0-6][0-9](\.[0-9]{1,6})?Z\$"
29	Trading capacity	DEAL
		MTCH
		AOTC
30	Quantity	UNT: ("^[0-9]{1,18}\.[0-9]{0,17}" && length <= 19) "^[0-9]{1,18}"
		NOM: ("^[0-9]{1,18}\.[0-9]{0,5}" && length <= 19) "^[0-9]{1,18}"
		MON: ("^[0-9]{1,18}\.[0-9]{0,5}" && length <= 19) "^[0-9]{1,18}"
31	Quantity currency	"^[A-Z]{3}"
32	Derivative notional increase/decrease	INCR
		DECR
33	Price	PNDG
		NOAP
		PC: ("^[0-9]{1,11}\.[0-9]{0,10}" && length <= 19) "^[0-9]{1,11}"
		MV: ("^[+-]?[0-9]{1,18}\.[0-9]{0,13}" && length <= 19) "^[0-9]{1,18}"
		YLD: ("^[0-9]{1,11}\.[0-9]{0,10}" && length <= 12) "^[0-9]{1,11}"
BP: ("^[0-9]{1,18}\.[0-9]{0,17}" && length <= 19) "^[0-9]{1,18}"		
34	Price Currency	"^[A-Z]{3}"
35	Net amount	("^[0-9]{1,18}\.[0-9]{0,5}" && length <= 19) "^[0-9]{1,18}"
36	Venue	"^[A-Z0-9]{4}"
37	Country of the branch membership	"^[A-Z]{2}"
38	Up-front payment	("^[+-]?[0-9]{1,18}\.[0-9]{0,5}" && length <= 19) "^[0-9]{1,18}"
39	Up-front payment currency	"^[A-Z]{3}"
40	Complex trade component id	"^[a-zA-Z0-9]{0,35}"
41	Instrument identification code	"^[A-Z]{2}[A-Z0-9]{9}[0-9]{1}"

42	Instrument Full Name	length <= 350	
43	Instrument classification	"^[A-Z]{6}\$"	
44	Notional currency 1	"^[A-Z]{3}\$"	
45	Notional currency 2	FX:	"^[A-Z]{3}\$"
		INTRST:	"^[A-Z]{3}\$"
46	Price multiplier	("^[0-9]{1,18}\.[0-9]{0,17}\$" && length <= 19) "^[0-9]{1,18}\$"	
47	Underlying instrument code	SWAP:0:	"[-+]\{\{([0-9]+:[A-Z]{2}[A-Z0-9]{9}[0-9]{1}[]*)\}*([0-9]+:[A-Z]{2}[A-Z0-9]{9}[0-9]{1}[]*)\}\}\{[-+]\{\{([0-9]+:[A-Z]{2}[A-Z0-9]{9}[0-9]{1}[]*)\}*([0-9]+:[A-Z]{2}[A-Z0-9]{9}[0-9]{1}[]*)\}\}\}?"
		OTHR:0:	"[-+]?\\{?([0-9]+:[A-Z]{2}[A-Z0-9]{9}[0-9]{1}[]*)\}*([0-9]+:[A-Z]{2}[A-Z0-9]{9}[0-9]{1}[]*)\}\}?"
48	Underlying index name	[47] == SWAP:	"[-+]\{\{([0-9]+:[A-Z 0-9]{0,25}[]*)\}*([0-9]+:[A-Z 0-9]{0,25}[]*)\}\}\{[-+]\{\{([0-9]+:[A-Z 0-9]{0,25}[]*)\}*([0-9]+:[A-Z 0-9]{0,25}[]*)\}\}\}?"
		[47] == OTHR:	"[-+]?\\{?([0-9]+:[A-Z 0-9]{0,25}[]*)\}*([0-9]+:[A-Z 0-9]{0,25}[]*)\}\}?"
49	Term of the underlying index ([47] == SWAP:)	DAYS#	"[-+]\{\{([0-9]+:[A-Z]{4}#[0-9]{1,3})\}*([0-9]+:[A-Z]{4}#[0-9]{1,3}[]*)\}\}\{[-+]\{\{([0-9]+:[A-Z]{4}#[0-9]{1,3})\}*([0-9]+:[A-Z]{4}#[0-9]{1,3}[]*)\}\}\}?"
		WEEK#	
		MNTH#	
		YEAR#	
49	Term of the underlying index ([47] == OTHR:)	DAYS#	"[-+]?\\{?([0-9]+:[A-Z]{4}#[0-9]{1,3})\}*([0-9]+:[A-Z]{4}#[0-9]{1,3}[]*)\}\}?"
		WEEK#	
		MNTH#	
		YEAR#	
50	Option type	PUTO	
		CALL	
		OTHR	
51	Strike price	PNDG	
		NOAP	
		PC:	("^[0-9]{1,11}\.[0-9]{0,10}\$" && length <= 19) "^[0-9]{1,11}\$"
		MV:	("^[+-]? [0-9]{1,18}\.[0-9]{0,13}\$" && length <= 19) "^[0-9]{1,18}\$"
		YLD:	("^[0-9]{1,11}\.[0-9]{0,10}\$" && length <= 12) "^[0-9]{1,11}\$"
BP:	("^[0-9]{1,18}\.[0-9]{0,17}\$" && length <= 19) "^[0-9]{1,18}\$"		
52	Strike price currency	"^[A-Z]{3}\$"	
53	Option exercise style	EURO	
		AMER	
		ASIA	
		BERM	
		OTHR	
54	Maturity date	"^[0-9]{4}-[0-1][0-9]-[0-3][0-9]\$"	

55	Expiry date	"^[0-9]{4}-[0-1][0-9]-[0-3][0-9]\$"	
56	Delivery type	PHYS	
		CASH	
		OPTL	
57	Investment decision within firm	CCPT:	"^[A-Z]{2}#[A-Z0-9+]{0,33}\$"
		CONCAT:	"^[A-Z]{2}[0-9]{8}[A-Z]{1}[A-Z#]{4}[A-Z]{1}[A-Z#]{4}\$"
		NIDN:	"^[A-Z]{2}#[A-Z0-9+]{0,33}\$"
		ALGO:	"^[a-zA-Z0-9]{0,50}\$"
58	Country of the branch responsible for the person making the investment decision	"^[A-Z]{2}\$"	
59	Execution within firm	CCPT:	"^[A-Z]{2}#[A-Z0-9+]{0,33}\$"
		CONCAT:	"^[A-Z]{2}[0-9]{8}[A-Z]{1}[A-Z#]{4}[A-Z]{1}[A-Z#]{4}\$"
		NIDN:	"^[A-Z]{2}#[A-Z0-9+]{0,33}\$"
		ALGO:	"^[a-zA-Z0-9]{0,50}\$"
		NORE	
60	Country of the branch supervising the person responsible for the execution	"^[A-Z]{2}\$"	
61	Waiver indicator	RFPT	
		NLIQ	
		OILQ	
		PRIC	
		SIZE	
		ILQD	
62	Short selling indicator	SESH	
		SSEX	
		SELL	
		UNDI	
63	OTC post-trade indicator	BENC	
		ACTX	
		LRGS	
		ILQD	
		SIZE	
		CANC	
		AMND	
		SDIV	
		PRIC	
		DUPL	
		TNCP	
		TPAC	
XFPH			

64	Commodity derivative indicator	TRUE
		FALSE
65	Securities financing transaction indicator	TRUE
		FALSE

Weitere Informationen zu Validierung finden Sie in der beigefügten Regulatorik:
2016-1521_annex_1_mifir_transaction_reporting_validation_rules.xlsx

Zellenübergreifende Validierung

Diese Tabelle soll beschreiben welche Regeln der Annex Tabelle (zu finden unter \Dokumentation\esma\2016-1521_annex_1_mifir_transaction_reporting_validation_rules.xlsx) implementiert sind, und welche nicht.

Rule ID	Field no	FIELD	Validation rule	Error code	vv.de Prüfung	Comment
005	2	Transaction Reference Number	If the report is a new transaction, the transaction reference number shall pertain to a single transaction per the executing entity, i.e. the same transaction reference number has not been used before or pertains to a transaction that has been cancelled (the last accepted report with this transaction reference number was a cancellation report).	CON-023	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
006	2	Transaction Reference Number	If the report is a cancellation report, a transaction with the same transaction reference number should have been reported by the executing entity before.	CON-024	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
007	2	Transaction Reference Number	If the report is a cancellation report, this transaction should be an active transaction (there was no cancellation report following the last accepted new transaction report for this transaction reference number).	CON-025	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
010	3	Trading venue transaction identification code	This field must not be populated where field 36 is populated with a MIC pertaining to a non-EEA Trading Venue or 'XXXX' or 'XOFF' or a MIC pertaining to a Systematic Internaliser.	CON-030	Ja	



014	4	Executing entity identification code	<p>Where field 5 is populated with 'true', this field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit.</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Pending transfer" or "Pending archival". 2. The InitialRegistrationDate of the LEI shall be equal or before the trading date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date. <p>If the status of the LEI is "Lapsed" in the LEI reference data as of the transaction execution date, an additional check should be performed in the LEI reference data as of the transaction submission date and the status of the LEI in this version of the reference data shall be "Issued", "Pending transfer" or "Pending archival".</p>	CON-040	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
266	4	Executing entity identification code	<p>Where field 5 is populated with 'false', this field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit.</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Pending transfer" "Pending archival" or "Lapsed". 2. The InitialRegistrationDate of the LEI shall be equal or before the trading date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date. 	CON-041	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
021	6	Submitting entity identification code	<p>This field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit.</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The InitialRegistrationDate of the LEI shall be equal or before the submission date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the submission date. <p>The submission date should be the system date at the moment of delivery of the data to the competent authority.</p>	CON-060	nein	Diese Aufgabe hat der Nutzer zu übernehmen.

027	7	Buyer identification code	<p>If LEI is used, this field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit.</p> <p>The following conditions shall be met for transactions executed on 3 July 2018 or later:</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The InitialRegistrationDate of the LEI shall be equal or before the trading date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date. <p>The following conditions shall be met for transactions executed until 2 July 2018:</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The EntityStatus shall be Active on the trading date or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date. 	CON-070	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
029	7	Buyer identification code	If national identifier is used, the first 2 characters of the national identification code should be an ISO 3166 country code that was valid at the trading date	CON-071	nein	
030	7	Buyer identification code	If MIC code is used, it should be a valid ISO 10383 MIC code indicating a trading venue that was active at the trading date, excluding special MIC codes 'XXXX' and 'XOFF'	CON-072	nein	
211	7	Buyer identification code	<p>In case the CONCAT code is used, the following characters are only allowed: Capital Latin letters, Numbers, #. It should be a string of exactly 20 characters where first two characters are letters, the next 8 characters are numbers and the remaining characters are letters or #, where 11th and 16th character are letters.</p> <p>In case national identification number or passport number is used, the following characters are only allowed: capital Latin letters (A-Z), numbers (0-9) as well as "+" and "-" in case the identifier starts with "FI" and "-" when the identifier starts with "LV". It can be a string of 3 to 35 characters, where first two characters are letters.</p>	CON-074	ja	Das Format wird überprüft, ob der CONCAT tatsächlich richtig geformt wurde nicht.
240	7	Buyer identification code	If the CONCAT code is used, the birthdate in the CONCAT code should be the same as the birthdate populated in field 11.	CON-073	ja	
033	8	Country of the branch for the buyer	If populated, it should be an ISO 3166 country code that was valid at the trading date	CON-080	nein	
041	11	Buyer - date of birth	Date of birth in field 11 should not be later than trading date.	CON-110	ja	

043	12	Buyer decision maker code	<p>If LEI is used, this field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit.</p> <p>The following conditions shall be met for transactions executed on 3 July 2018 or later:</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The InitialRegistrationDate of the LEI shall be equal or before the trading date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date. <p>The following conditions shall be met for transactions executed until 2 July 2018:</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The EntityStatus shall be Active on the trading date or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date. 	CON-120	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
045	12	Buyer decision maker code	If national identifier is used, the first 2 characters of the national identification code should be an ISO 3166 country code that was valid at the trading date	CON-121	nein	
212	12	Buyer decision maker code	<p>In case the CONCAT code is used, the following characters are only allowed: Capital Latin letters, Numbers, #. It should be a string of exactly 20 characters where first two characters are letters, the next 8 characters are numbers and the remaining characters are letters or #, where 11th and 16th character are letters.</p> <p>In case national identification number or passport number is used, the following characters are only allowed: capital Latin letters (A-Z), numbers (0-9) as well as "+" and "-" in case the identifier starts with "FI" and "-" when the identifier starts with "LV". It can be a string of 3 to 35 characters, where first two characters are letters.</p>	CON-123	ja	
241	12	Buyer decision maker code	If the CONCAT code is used, the birthdate in the CONCAT code should be the same as the birthdate populated in field 15.	CON-122	ja	
053	15	Buy decision maker - Date of birth	Date of birth in field 15 should not be later than trading date.	CON-150	ja	

056	16	Seller identification code	<p>If LEI is used, this field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit.</p> <p>The following conditions shall be met for transactions executed on 3 July 2018 or later:</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The InitialRegistrationDate of the LEI shall be equal or before the trading date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date. <p>The following conditions shall be met for transactions executed until 2 July 2018:</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The EntityStatus shall be Active on the trading date or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date. 	CON-160	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
058	16	Seller identification code	If national identifier is used, the first 2 characters of the national identification code should be an ISO 3166 country code that was valid at the trading date	CON-161	nein	
059	16	Seller identification code	If MIC code is used, it should be a valid ISO 10383 MIC code indicating a trading venue that was active at the trading date, excluding special MIC codes 'XXXX' and 'XOFF'	CON-162	nein	
213	16	Seller identification code	<p>In case the CONCAT code is used, the following characters are only allowed: Capital Latin letters, Numbers, #. It should be a string of exactly 20 characters where first two characters are letters, the next 8 characters are numbers and the remaining characters are letters or #, where 11th and 16th character are letters.</p> <p>In case national identification number or passport number is used, the following characters are only allowed: capital Latin letters (A-Z), numbers (0-9) as well as "+" and "-" in case the identifier starts with "FI" and "-" when the identifier starts with "LV". It can be a string of 3 to 35 characters, where first two characters are letters.</p>	CON-164	ja	Das Format wird überprüft, ob der CONCAT tatsächlich richtig geformt wurde nicht.
242	16	Seller identification code	If the CONCAT code is used, the birthdate in the CONCAT code should be the same as the birthdate populated in field 20.	CON-163	ja	
062	17	Country of the branch for the seller	If populated, it should be an ISO 3166 country code that was valid at the trading date	CON-170	nein	
070	20	Seller - date of birth	Date of birth in field 20 should not be later than trading date.	CON-200	ja	

072	21	Seller decision maker code	<p>If LEI is used, this field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit.</p> <p>The following conditions shall be met for transactions executed on 3 July 2018 or later:</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The InitialRegistrationDate of the LEI shall be equal or before the trading date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date. <p>The following conditions shall be met for transactions executed until 2 July 2018:</p> <ol style="list-style-type: none"> 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The EntityStatus shall be Active on the trading date or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date. 	CON-210	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
074	21	Seller decision maker code	If national identifier is used, the first 2 characters of the national identification code should be an ISO 3166 country code that was valid at the trading date	CON-211	nein	
243	21	Seller decision maker code	<p>In case the CONCAT code is used, the following characters are only allowed: Capital Latin letters, Numbers, #. It should be a string of exactly 20 characters where first two characters are letters, the next 8 characters are numbers and the remaining characters are letters or #, where 11th and 16th character are letters.</p> <p>In case national identification number or passport number is used, the following characters are only allowed: capital Latin letters (A-Z), numbers (0-9) as well as "+" and "-" in case the identifier starts with "FI" and "-" when the identifier starts with "LV". It can be a string of 3 to 35 characters, where first two characters are letters.</p>	CON-213	ja	
244	21	Seller decision maker code	If the CONCAT code is used, the birthdate in the CONCAT code should be the same as the birthdate populated in field 24.	CON-212	ja	
082	24	Seller decision maker - date of birth	Date of birth in field 24 should not be later than trading date.	CON-240	ja	
215	25	Transmission of order indicator	When the executing entity is dealing on its own account or matched principal basis (value 'DEAL' or 'MTCH' populated in field 29) this field must be populated with 'false'.	CON-251	ja	

086	26	Transmitting firm identification code for the buyer	This field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit. 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The InitialRegistrationDate of the LEI shall be equal or before the trading date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date.	CON-260	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
090	27	Transmitting firm identification code for the seller	This field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit. 1. The status of the LEI shall be "Issued", "Lapsed", "Pending transfer" or "Pending archival". 2. The InitialRegistrationDate of the LEI shall be equal or before the trading date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date.	CON-270	nein	Diese Aufgabe hat der Nutzer zu übernehmen.
096	28	Trading date time	Trading date time must be before the reception date time (i.e. when the file including the transaction was received by the NCA).	CON-280	ja	
269	28	Trading date time	Trading date cannot be earlier than the agreed date of the first trading date to be reported under MiFIR or earlier than 5 years before the current date.	CON-281	ja	
216	29	Trading capacity	When using 'DEAL' Buyer Identification or Seller Identification or both of them should be identical with the executing entity identification code.	CON-290	ja	
104	31	Quantity currency	A valid ISO 4217 currency code that was active at the trading date or is a pre-EURO currency should be populated. The following special currency codes are not allowed: XAG, XAU, XBA, XBB, XBC, XBD, XDR, XEU, XFU, XPD, XPT, XXX.	CON-310	nein	
260	33	Price	In case the CFI code is reported in field 43 (transaction in a financial instrument that is not admitted to trading): For debt instruments, i.e. CFI reported in field 43 is D*****, where the quantity is reported in unit terms, the reported price shall not be in percentage terms.	CON-330	ja	
261	33	Price	In case the CFI code is available in the instrument reference data (transaction in an instruments admitted to trading): For debt instruments, i.e. where CFI of the instrument in the reference data is D*****, where the quantity is reported in unit terms, the reported price shall not be in percentage terms.	CON-331	ja	
110	34	Price Currency	A valid ISO 4217 currency code that was active at the trading date should be populated. The following special currency codes are not allowed: XAG, XAU, XBA, XBB, XBC, XBD, XDR, XEU, XFU, XPD, XPT, XXX.	CON-340	nein	



111	35	Net amount	In case the CFI code is reported in field 43 (transaction in a financial instrument that is not admitted to trading): The field is mandatory for debt instruments, i.e. CFI reported in field 43 is DB**** (Bonds), DC**** (convertible bonds), DT**** (medium term notes) or DN**** (municipal bonds).	CON-350	ja	
262	35	Net amount	In case the CFI code is available in the instrument reference data (transaction in an instruments admitted to trading): The field is mandatory for debt instruments, i.e. CFI of the instrument in the reference data is DB**** (Bonds), DC**** (convertible bonds), DT**** (medium term notes) and DN**** (municipal bonds)	CON-351	nein	
116	36	Venue	The reported code should be a valid ISO 10383 MIC code that was active at the trading date	CON-360	nein	
270	36	Venue	If the instrument reported in field 41 is present in reference data, 'XXXX' cannot be reported in field 36. I.e. if 'XXXX' populated in field 36 (Tx\TradVn), full instrument description must be provided in FinInstrm\Othr (FinInstrm\Id must not be used) and ISIN reported in FinInstrm\Othr\FinInstrmGnlAttrbts\Id must not be present in reference data for the relevant trade date.	CON-361	nein	
283	36	Venue	If field 25 Transmission of order indicator is 'true', the trading venue field should be XOFF or XXXX.	CON-362	ja	
117	37	Country of the branch membership	This field is mandatory where: MIC populated in field 36 pertains to an EEA trading venue or trading platform outside the Union.	CON-370	nein	
284	37	Country of the branch membership	This field must not be populated where field 36 is populated with 'XXXX' or 'XOFF' or a MIC pertaining to a Systematic Internaliser.	CON-372	ja	Validierung beschränkt sich nur auf Venue = 'XXXX' und 'XOFF'
119	37	Country of the branch membership	If populated, it should be an ISO 3166 country code that was valid at the trading date	CON-371	nein	
120	38	Up-front payment	In case the CFI code is reported in field 43 (transaction in a derivative instrument that is not admitted to trading): Field is mandatory where the CFI reported in field 43 is SC**** (CDS)	CON-380	ja	
263	38	Up-front payment	In case the CFI code is available in the instrument reference data (transaction in an instruments admitted to trading): Field is mandatory where the CFI of the instrument in the reference data is SC**** (CDS)	CON-381	nein	

124	39	Up-front payment currency	<p>A valid ISO 4217 currency code that was active at the trading date should be populated.</p> <p>The following special currency codes are not allowed: XAG, XAU, XBA, XBB, XBC, XBD, XDR, XEU, XFU, XPD, XPT, XXX.</p>	CON-390	nein	
130	41	Instrument identification code	<p>The check digit of the ISIN code should be valid according to the algorithm of ISIN validation, as defined in the ISO 6166:2013 standard, Annex C Formula for computing the modulus 10 double-add-double" check digit.</p>	CON-410	ja	
220	41	Instrument identification code	<p>The instrument should be present in reference data for the trading date for the following transactions:</p> <ol style="list-style-type: none"> 1. The transaction is executed on a trading venue within EEA (MIC code in field 36 belongs to a trading venue within the EEA); 2. The transaction is an OTC transaction in instrument admitted to trading (field 36 populated with 'XOFF') and field 47 and 48 are not populated; 3. The transaction is executed on a SI or an organised trading platform outside EEA and field 47 and 48 are not populated. 	CON-411	nein	
			<p>In the case of transactions on EEA venues (point 1 above), the instrument should be valid on the particular trading venue where the transaction was executed. In the case of the other transactions (point 2 and 3), the instrument should be valid on any (at least one) EEA trading venue or SI.</p>	CON-412	nein	
222	43	Instrument classification	<p>The reported CFI should be an allowed CFI according to the ISO 10962:2015.</p>	CON-430	nein	
136	43	Instrument classification	<p>The instrument classification should be consistent with option style (field 53):</p> <ol style="list-style-type: none"> 1. If field 53 = EURO, then one of the following CFI codes should be used: O*E***, H**A**, H**D**, H**G**, RW***E, RF***E 2. If field 53 = AMER, then one of the following CFI codes should be used: O*A***, H**B**, H**E**, H**H**, RW***A, RF***A 3. If field 53 = BERM, then one of the following CFI codes should be used: O*B***, H**C**, H**F**, H**I**, RW***B, RF***B 	CON-431	ja	
139	44	Notional currency 1	<p>A valid ISO 4217 currency code that was active at the trading date or is a pre-EURO currency should be populated.</p> <p>The following special currency codes are not allowed: XAG, XAU, XBA, XBB, XBC, XBD, XDR, XEU, XFU, XPD, XPT, XXX.</p>	CON-440	nein	
137	44	Notional currency 1	<p>Field is mandatory where Field 43 is populated with:</p> <ol style="list-style-type: none"> 1. Other instruments with the following CFI attributes: O****, S****, C****, R****, F****, E****, D****, H****, J**** 	CON-441	ja	
245	45	Notional currency 2	<p>Field can be only populated when field 44 was also populated</p>	CON-450	ja	



142	45	Notional currency 2	<p>A valid ISO 4217 currency code that was active at the trading date or is a pre-EURO currency should be populated.</p> <p>The following special currency codes are not allowed: XAG, XAU, XBA, XBB, XBC, XBD, XDR, XEU, XFU, XPD, XPT, XXX.</p>	CON-451	nein	
140	45	Notional currency 2	<p>This field is mandatory where field 43 is populated with:</p> <ol style="list-style-type: none"> 1. Swaps with the following CFI attributes: SF**** 2. Futures with the following CFI attributes: FFC*** 3. Financial instrument with the following CFI attributes: JF****, RWC***, RFC***, DE***C and DS***C 	CON-452	ja	
250	45	Notional currency 2	<p>This field should not be populated where field 43 is populated with:</p> <ol style="list-style-type: none"> 1. Options with the following CFI attributes: O**S**, O**D**, O**T**, O**N** 2. Futures with the following CFI attributes: FFS***, FFD***, FFN***, FFV***, FC**** 3. Swaps with the following CFI attributes: ST**** 4. Complex options with the following CFI attributes: HT****, HE****, HF**** 5. Other classes of instruments with the following CFI attributes: RA****, RS****, RP****, RD****, RM****, RX****, RWB***, RWS***, RWD***, RWT***, RWI***, RWM****, RWX***, RFB***, RFS***, RFD***, RFT***, RFI***, RFM***, RFX***, E****, C****, DB****, DC****, DW****, DT****, DG****, DA****, DN****, DD****, DM****, DY****, DX****, DE***B, DE***S, DE***D, DE***T, DE***I, DE***N, DE***M, DE***X, DS***B, DS***S, DS***D, DS***T, DS***I, DS***N, DS***M, DS***X, JE****, JC****, JR****, JT****, JX**** 	CON-453	ja	



148	47	Underlying instrument code	<p>The underlying instrument should be present in reference data for the trading date for the following transactions:</p> <ol style="list-style-type: none"> 1. The transaction is an OTC transaction: <ol style="list-style-type: none"> a) field 36 is populated with 'XXXX'; and b) the underlying instrument is not an index; 2. The transaction was executed on a non-EEA organised trading platform: <ol style="list-style-type: none"> a) field 36 is populated with a non-EEA MIC code or 'XOFF'; and b) the instrument (field 41) is not populated or populated with an instrument that is not present in the reference data; and c) the underlying instrument is not an index; <p>In the case of baskets, if more than one basket constituent is populated, all of them should be present in the instrument reference data.</p> <p>Where the submitting entity populates not only the reportable components but also non-reportable ones, the report is pended and, after the 7 calendar days, rejected (unless the non-reportable components become reportable within that 7 calendar day period).</p>	CON-471	nein	
				CON-472	nein	
150	47	Underlying instrument code	The check digit of the ISIN code should be valid according to the algorithm of ISIN validation, as defined in the ISO 6166:2013 standard, Annex C Formula for computing the modulus 10 double-add-double check digit.	CON-470	ja	
281	47	Underlying instrument code	For swap transactions where field 43 is populated with S****, at least one swap leg consisting of a single instrument, an index or a basket should be reported with the direction indication (i.e. the underlying must be reported using the UndrlygInstrm\Swp\SwpIn or UndrlygInstrm\Swp\SwpOut XML elements).	CON-473	nein	
154	48	Underlying index name	This field is mandatory where field 43 is populated with <ol style="list-style-type: none"> 1. Options with the following CFI attributes: O****, O****N** 2. Futures with the following CFI attributes: FFI****, FFN**** 3. Entitlements with the following CFI attributes: RWI****, RFI**** 	CON-480	ja	
264	48	Underlying index name	This field should not be populated where field 43 is populated with: <ol style="list-style-type: none"> 1. Debt instruments with the following CFI attributes: DB****, DT****, DY**** 2. Other instruments with the following CFI attributes: ES****, EP****, EC****, EF****, EL****, ED****, EM****, EX****, C**** 	CON-481	ja	
157	49	Term of the underlying index	This field is mandatory where field 43 is populated with <ol style="list-style-type: none"> 1. Options with the following CFI attributes: O****N** 2. Futures with the following CFI attributes: FFN**** 	CON-490	ja	



158	50	Option type	Field is mandatory where field 43 is populated with: 1. Options with the following CFI attributes: O***** or H***** 2. Warrants with the following CFI attributes: RW*****	CON-500	ja	
251	50	Option type	This field should not be populated where field 43 is populated with: 1. Instruments with the following CFI attributes: F*****, S*****, E*****, C*****, D*****, J*****	CON-501	ja	
159	50	Option type	If CFI code is 1. 'OC****', 'H**A**', 'H**B**', 'RW**C*' or 'H**C**', then option type should be 'CALL' 2. 'OP****', 'H**D**', 'H**E**', 'RW**P*' or 'H**F**', then option type should be 'PUTO' 3. 'OM****', 'H**G**', 'H**H**', 'RW**B*' or 'H**I**', then option type should be 'OTHR'	CON-502	ja	
161	51	Strike price	Field is mandatory where field 43 is populated with: 1. Options with the following CFI attributes: O***** or H***** 2. Warrants with the following CFI attributes: RW*****	CON-510	ja	
252	51	Strike price	This field should not be populated where field 43 is populated with: 1. Instruments with the following CFI attributes: F*****, S*****, E*****, C*****, D*****, J*****	CON-511	ja	
165	52	Strike price currency	A valid ISO 4217 currency code that was active at the trading date should be populated. The following special currency codes are not allowed: XAG, XAU, XBA, XBB, XBC, XBD, XDR, XEU, XFU, XPD, XPT, XXX.	CON-520	nein	
166	53	Option exercise style	Field is mandatory where field 43 is populated with: 1. Options with the following CFI attributes: O***** or H***** 2. Warrants with the following CFI attributes: RW***** and RF*****	CON-530	ja	
253	53	Option exercise style	This field should not be populated where field 43 is populated with: 1. Instruments with the following CFI attributes: F*****, S*****, E*****, C*****, D*****, J*****	CON-531	ja	
168	54	Maturity date	This field is mandatory where field 43 is populated with 1. D*****	CON-540	ja	
170	54	Maturity date	The maturity date should be equal or later than the trading day (field 28).	CON-541	ja	
254	54	Maturity date	This field should not be populated where field 43 is populated with: 1. Instruments with the following CFI attributes: R*****, O*****, F*****, S*****, E*****, C*****, H*****, J*****	CON-542	ja	
171	55	Expiry date	Field is mandatory where field 43 is populated with: 1. Options with the following CFI attributes: 'O*****' 2. Futures with the following CFI attributes: F***** 3. Forwards with the following CFI attributes: JC**F*	CON-550	ja	
255	55	Expiry date	This field is should not be populated where field 43 is populated with: 1. Instruments with the following CFI attributes: E*****, C*****, D*****	CON-551	ja	
173	55	Expiry date	The expiry date should be equal or later than the trading day (field 28).	CON-552	ja	



227	56	Delivery type	<p>Where field 43 is populated with one of the following CFI codes: OC**P*, OP**P*, FF**P**, FC**P**, SR***P, ST***P, SE***P, SC***P, SF***P, SM***P, HR***P, HT***P, HE***P, HC***P, HF***P, HM***P, IF***P, JE***P, JF***P, JC***P, JR***P, JT***P, LL***P, this field should be populated with 'PHYS'.</p> <p>Where field 43 is populated with one of the following CFI codes: OC**C*, OP**C*, FF**C**, FC**C**, SR***C, ST***C, SE***C, SC***C, SM***C, HR***C, HT***C, HE***C, HC***C, HF***C, HM***C, JE***C, JF***C, JC***C, JR***C, JT***C, LL***C, this field should be populated with 'CASH'.</p>	CON-560	ja	
177	57	Investment decision within firm	Field must be always populated where the entity deals on own account (i.e. value 'DEAL' populated in field 29) and the firm does not act as a receiving firm (fields 26 or 27 are not populated).	CON-570	ja	
228	57	Investment decision within firm	<p>Field should not be populated in-reports where the transmitting firm identification code is not populated for the buyer or seller (fields 26 and 27) and the firm deals on a matched principal capacity (i.e. value 'MTCH' populated in field 29) or an any other capacity (i.e. value 'AOTC' populated in field 29) unless the decision maker field is populated with the LEI of the executing entity.</p> <p>This rule should be interpreted as follows: Field 57 should be left blank (not populated) if:</p> <ul style="list-style-type: none"> • the transmitting firm identification code is not populated for the buyer (fields 26 is blank); and • the transmitting firm identification code is not populated for the seller (field 27 is blank); and • the firm deals on a matched principal capacity or an any other capacity (i.e. value 'MTCH' or 'AOTC' is populated in field 29); and • any of LEIs populated in the buyer decision maker (field 12) is different from the LEI of the executing firm or field 12 is blank (no LEI); and • any of LEIs populated in the seller decision maker (field 21) is different from the LEI of the executing firm or field 21 is blank (no LEI). 	CON-571	ja	
180	57	Investment decision within firm	If national identifier is used, the first 2 characters of the national identification code should be an ISO 3166 country code that was valid at the trading date	CON-573	nein	



229	57	Investment decision within firm	<p>In case the CONCAT code is used, the following characters are only allowed: Capital Latin letters, Numbers, #. It should be a string of exactly 20 characters where first two characters are letters, the next 8 characters are numbers and the remaining characters are letters or #, where 11th and 16th character are letters.</p> <p>In case national identification number or passport number is used, the following characters are only allowed: capital Latin letters (A-Z), numbers (0-9) as well as "+" and "-" in case the identifier starts with "FI" and "-" when the identifier starts with "LV". It can be a string of 3 to 35 characters, where first two characters are letters.</p>	CON-574	ja	
267	57	Investment decision within firm	<p>Investment decision identifier should not be populated in reports where the firm deals on a matched principal capacity (i.e. value 'MTCH' populated in field 29) or an any other capacity (i.e. value 'AOTC' populated in field 29) and the transmitting firm identification code is populated for the buyer and/or seller unless the decision maker field is populated with the LEI of the transmitting firm.</p> <p>This rule should be interpreted as follows: Field 57 should be left blank (not populated) if:</p> <ul style="list-style-type: none"> • the firm deals on a matched principal capacity (i.e. value 'MTCH' populated in field 29) or an any other capacity (i.e. value 'AOTC' populated in field 29); and one or both of the below conditions are true <ul style="list-style-type: none"> o the transmitting firm for the buyer (field 26) is populated and the value is different from any of LEIs populated in the buyer decision maker (field 12); or o the transmitting firm for the seller (field 27) is populated and the value is different from any of LEIs populated in the seller decision maker (field 21). 	CON-572	ja	
182	58	Country of the branch responsible for the person making the investment decision	<p>If populated, it should be an ISO 3166 country code that was valid at the trading date.</p>	CON-580	nein	
186	59	Execution within firm	<p>If national identifier is used, the first 2 characters of the national identification code should be an ISO 3166 country code that was valid at the trading date.</p>	CON-590	nein	



231	59	Execution within firm	<p>In case the CONCAT code is used, the following characters are only allowed: Capital Latin letters, Numbers, #. It should be a string of exactly 20 characters where first two characters are letters, the next 8 characters are numbers and the remaining characters are letters or #, where 11th and 16th character are letters.</p> <p>In case national identification number or passport number is used, the following characters are only allowed: capital Latin letters (A-Z), numbers (0-9) as well as "+" and "-" in case the identifier starts with "FI" and "-" when the identifier starts with "LV". It can be a string of 3 to 35 characters, where first two characters are letters.</p>	CON-591	ja	
188	60	Country of the branch supervising the person responsible for the execution	If populated, it should be an ISO 3166 country code that was valid at the trading date.	CON-600	nein	
189	61	Waiver indicator	This field should NOT be populated where: 1. Field 36 is 'XOFF', 'XXXX' or a non-EEA venue	CON-610	ja	
233	64	Commodity derivative indicator	Field is mandatory for commodity derivative transaction where the instrument reported in field 41 is classified in instrument reference data as commodity derivative (i.e. field 4 in instrument reference data is populated with 'true').	CON-640	ja	

Referenzen Regulatorik

ESMA/2016/1521 (Stand 08.04.2025)

- [Offizieller Link](#)

- [PDF](#)

ESMA65-8-2594 (Stand 08.04.2025)

- [Offizieller Link](#)

(EU) 2017/590 (Stand 08.04.2025)

- [Offizieller Link](#)

- [PDF](#)

ESMA/2016/1452 (Stand 08.04.2025)

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Der Programmhersteller haftet nicht für Schäden an Soft- oder Hardware oder Vermögensschäden, die durch das Benutzen des Programms entstehen. Der Benutzer ist selbst dafür verantwortlich, die gemeldeten Transaktionsdaten zu überprüfen und die Antwort der BaFin (z.B. Log-Dateien) zu kontrollieren.

Der Softwarehersteller sichert keine Eigenschaften oder Funktionen zu, die nicht in diesem Handbuch beschrieben sind.

Das MiFIR-Meldetool nutzt Softwarekomponenten von Fremdherstellern (z.B. Open-Source Komponenten), die in den Lizenzbedingungen einzeln aufgeführt sind.

MiFIR Meldetool Fehlerquellen

Pflichtfelder

Meldung einer Transaktion

- [1] Report status = NEW
- [2] Transaction Reference Number
- [4] Executing entity identification code
- [6] Submitting entity identification code
- [7] Buyer identification code
- [16] Seller identification code

- [25] Transmission of order indicator
- [28] Trading date time
- [29] Trading capacity
- [30] Quantity
- [33] Price
- [36] Venue
- [41] bzw [41-56] Instrument
- [59] Execution within firm
- [65] Securities financing transaction indicator

Stornierung einer Transaktion

- [1] Report status = CXL
- [2] Transaction Reference Number
- [4] Executing entity identification code
- [6] Submitting entity identification code

Sonderzeichen & Umlaute

Sonderzeichen & Umlaute werden nicht unterstützt. Falls doch Sonderzeichen und/oder Umlaute genutzt wurden erscheint folgender Fehler beim Melden an die BaFin: "An internal error has occurred".

Feld 2 "Transaction Reference Number"

In diesem Feld muss zu jeder Transaktion eine einzigartige Identifikationsnummer stehen. Diese Identifikation muss Meldungsübergreifend einzigartig sein, ansonsten wird die Transaktion verworfen.

Datum

Ein Datum wird immer wie folgt erwartet: YYYY-MM-DD. Beispiel: 2025-03-30

Folgende Felder sind betroffen:

Feld 11 "Buyer - date of birth"

Feld 15 "Buy decision maker - Date of birth"

Feld 20 "Seller - date of birth"

Feld 24 "Sell decision maker - Date of birth"

Feld 54 "Maturity date"

Feld 55 "Expiry date"

Feld 28 "Trading date time"

Der Handelszeitpunkt hat folgendes Format: YYYY-MM-DDThh:mm:ss.ssssssZ, mit einer Genauigkeit von mindestens Sekunden.

Beispiel: 2025-03-25T12:30:25Z oder 2025-03-25T12:30:25.123456Z

Dabei ist zu beachten, dass die Angabe in [UTC-0](#) erwartet wird.

Feld 29 "Trading capacity"

Hier wird für den zuvor geschilderten Grundsachverhalt der Vermittler und Portfolioverwalter gelegentlich „MTCH“ angegeben.

Das würde aber bedeuten, dass ich eine Order eines Käufers und eines Verkäufers vorliegen hätte, die zufällig miteinander matchen, sodass ich die Orders nicht zur externen Ausführung weiterleiten muss.

Im Normalfall leiten Sie aber Kundenorders an ausführende Einheiten weiter, so dass dann „AOTC“ als Handelskapazität zu setzen wäre, wird das eigene Buch dazwischen geschaltet entsprechend „DEAL“.

Felder 33 und 52, „Price“ und "Strike price currency"

Der Preis ist, falls Nachkommastellen vorhanden sind, mit . statt , anzugeben. Beispiel: 123.55

LEI

Eine LEI ist immer 20-stellig mit 2 Ziffern am Ende. Der Dienst [Gleif](#) kann bei der Überprüfung helfen.

Concat

Anleitung:

Mit folgender Formel wird das CONCAT gebildet

2 Buchstaben (Ländercode) +

8 Zahlen (Geburtsdatum YYYYMMDD)

1 Buchstabe + 4 Buchstaben oder # (Vorname) +

1 Buchstabe + 4 Buchstaben oder # (Nachname)

Ein Beispiel:

Land: Deutschland, Geburtsdatum: 30-06-1950, Name: Max, Nachname: Mustermann

CONCAT: DE19500630MAX##MUSTE