

## CIRCULAR

20 SEPTEMBER 2017

**CIRCULAR 17/125**

### **MIFIR TRANSACTION REPORTING: ICE IDENTIFIER ADMIN APPLICATION**

#### **CATEGORY**

General

#### **ATTACHMENTS**

None

Pursuant to the Regulation (EU) 600/2014 (MiFIR), the Exchange shall as of 03 January 2018:

- Record and keep at the disposal of its national competent authority the relevant data relating to all orders in financial instruments which are advertised through its systems (Article 25(2));
- Report the relevant details of transactions in financial instruments traded on its platform, which are executed through its systems by firms that are not themselves subject to MiFIR transaction reporting obligations (Article 36(5)).

In order to support collection of the relevant data relating to orders and transactions, the Exchange is providing to its Members and their non-Member clients a new ICE Identifier Admin application.

This new application provides the mechanism through which Members and their representatives setup and manage Short Codes for three of the new MIFID II order attributes (Execution within Firm, Investment Decision within Firm and Client).

In addition, the application allows for the creation of a Compliance Profile which is a single identifier for all seven of the new MIFID II order attributes (three fields represented by Short Codes previously mentioned and Trading Capacity, Direct Electronic Access, Liquidity Provision Activity and Commodity Derivative Indicator).

**The ICE Identifier Admin application (IIA) is now available.**

#### **Access**

- Accessible at <https://www.theice.com/> via the Login window
- The following userIDs have 'edit' access:
  - UserIDs with 'risk manager' or 'super user' market type permissions and userIDs with 'administrator' rights
- UserIDs without the permissions noted above can also be granted 'edit' or 'view-only' access by ICE User Administration upon request by the company's ICE Administrator

#### **Data entry**

- IIA supports data entry via the GUI as well as a bulk .csv file import via the GUI or SFTP

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- Bulk import via the GUI is available now, and guidelines/request forms for importing via SFTP will be made available in late September with a projected October production release.

### Scripting data for non-member firms

In order to help Members and their representatives with the required data setup, ICE plans to automatically script MiFID data for non-Member entities on Monday 02 October 2017. **If you would like to opt-out of this scripting, please contact ICE User Administration at [iceuseradministration@theice.com](mailto:iceuseradministration@theice.com) by Friday 29 September 2017.**

The data to be scripted for each non-Member entity is as follows:

#### Step 1 - Create one Short Code for 'Client'

Short Code ID = 4

Type = Entity

Identifier = LEI of the entity (a dummy value will be scripted if an LEI has not been determined and will be updated later when known)

#### Step 2 - Create one Compliance Profile

Profile ID = 4

Profile Label = NonMember Default

DEA = True

Trading Capacity = AOTC

Liquidity Provision = False

Commodity Derivative Indicator = False

Execution Short Code = 3 (for NORE; industry standard)

Investment Short Code = null

Client Short Code = 4 (the Short Code created in Step 1)

#### Step 3 - Assign Compliance Profile to userIDs

Assign Profile created in Step 2 to all active userIDs in the entity that have trading permissions to MIFID eligible markets.

#### Step 4 - Create the ICE Block Company Default Compliance Profile

Data scripted will be identical as the Profile created in Step 2 except that the Profile Label = ICE Block Default. Please note this Profile will only be assigned to off-exchange trades when an off-exchange trade is submitted on your company's behalf without a Profile and no Profile is added intraday.

Members and their non-Member clients should review the data for accuracy and to ensure no additional Profiles are required.

### Pending Short Codes and Profiles

- Pending Short Codes and Profiles are those that have been submitted on orders via FIX OS but not yet registered in IIA

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- All Short Codes and Profiles must be registered in IIA prior to the nightly maintenance window so that daily regulatory reporting can be completed
- In order to assist companies in identifying their pending Short Codes and Profiles, within IIA:
  - A report for all 'Pending Short Codes' and all 'Pending Profiles' is located under the File menu item
  - All pending Short Code and Profile IDs are also displayed in the ID field when adding a new Short Code or Profile
- In Q4, the exchange is planning to enhance identifying Pending Short Codes and Profiles by:
  - Providing automated emails of pending Short Codes and Profiles via an opt-in/email address setup within IIA
  - Providing a search feature within ACE to query all orders/trades with pending Short Codes and Profiles

### User guide / Help

Please consult the IIA User Guide for complete details:

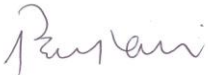
[https://www.theice.com/publicdocs/Identifier\\_Admin\\_User\\_Guide.pdf](https://www.theice.com/publicdocs/Identifier_Admin_User_Guide.pdf)

To setup a training session on IIA, please send an email to [icehelpdesk@theice.com](mailto:icehelpdesk@theice.com)

General MIFID queries can be sent to [ICEFuturesEurope-MiFID@TheIce.com](mailto:ICEFuturesEurope-MiFID@TheIce.com)

Please ensure that the appropriate members of staff within your organisation and customers are advised of the content of this Circular.

Signed:



Patrick Davis  
Company Secretary

### FOR MORE INFORMATION, PLEASE CONTACT:

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