

# SFT repository U2A channel - user manual

## Table of Contents

- I. Introduction .....2
- II. Creating an account in the SFT Trade Repository application .....3
  - 1. Authentication .....3
  - 2. Authorization .....6
- III. Logging in to the SFT application.....12
- IV. Functionalities of the SFT application.....13
  - 1. Transactions .....13
  - 2. Re-Use .....14
  - 3. Margins.....15
  - 4. XML Messages.....15
  - 5. Request history .....17

## I. Introduction

The document describes the way of applying for access to the U2A SFTR Repository channel, the mechanism of obtaining the access and contains user manual for the U2A graphical interface of the Repository system.

### Definitions:

- Service administrator within an institution (administrator role granted by an institution)- this shall be understood to mean a user having right to administer requests for access to the SFTR Repository of other entity users
- SFT application - this shall be understood to mean IT system (graphical interface of the U2A channel), used as part of the SFT service provided by KDPW, enabling manual exchange of information through messages between a participant and KDPW
- Access application - an application enabling access to the KDPW system through Single Sign On (SSO), available on the KDPW website
- Message - this shall be understood to mean a form of submitting and receiving information between a participant and KDPW in line with the SFTR Regulations provisions
- User account - an account created by an individual in the Access application
- User– a natural person having an account in the KDPW access application, having the possibility to request on behalf of an entity that is a participant in the SFT service for access to the SFT application in the role of User or Administrator,
- Service user- a user having access to the SFT application on behalf of a SFTR Repository participant
- Rules of access – this shall be understood to mean „Rules of access to the IT systems of KDPW” set out the rules of access to and authorization in the KDPW applications dedicated to electronic communication with KDPW and the rules required to set up a system connection with the KDPW applications
- SFTR Rules– this shall be understood to mean “The Trade Repository Rules for Securities Financing Transactions” determine the legal basis for KDPW to provide trade repository services with respect to collecting and storing data on securities financing transactions, in accordance with the provisions of SFTR
- Participant – this shall be understood to mean an entity which is a party to a participation agreement concluded under the KDPW service rules or a party to another agreement concluded in accordance with the service rules or an entity which gains access to other functionalities provided by KDPW
- SFT service- this shall be understood to mean a service provided by KDPW SFT Repository

## II. Creating an account in the SFT Trade Repository application

### 1. Authentication

The access to graphic interfaces of services provided by the KDPW Capital Group is granted under condition of previous setting up an account in the access application.

To set up a new user account in the access application, please visit the access application page <https://online.kdpw.pl/>. In "Sign in" area of the starting page there is the hyperlink "Sign up now", which leads to the registration form page.



## Sign in

Please sign in to the system to use  
KDPW Group services

Email Address

Password [Forgot your password?](#)

Don't have an account? [Sign up now](#)

PL | EN



Enter the email address in the "Email address" field as it is shown below, then click "Send me the verification code" button. A code will be sent to the provided email address to verify the email address correctness.



## Sign Up

Create user account to use KDPW services

Email address

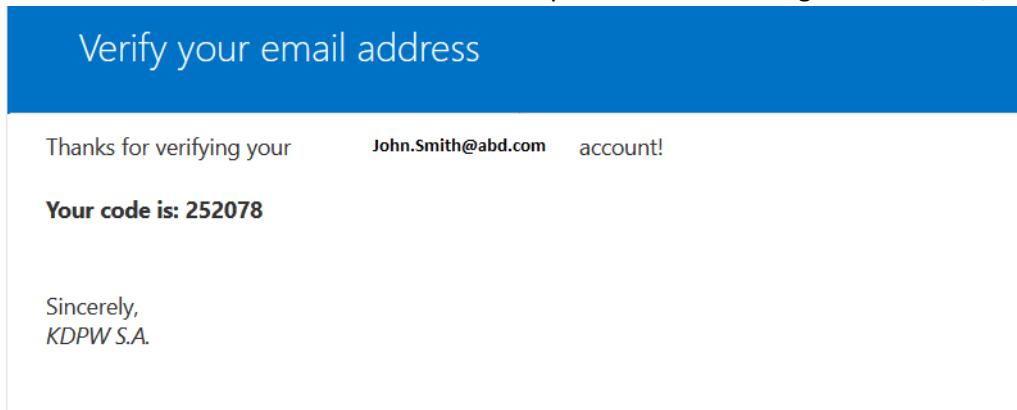
New password

Reenter new password

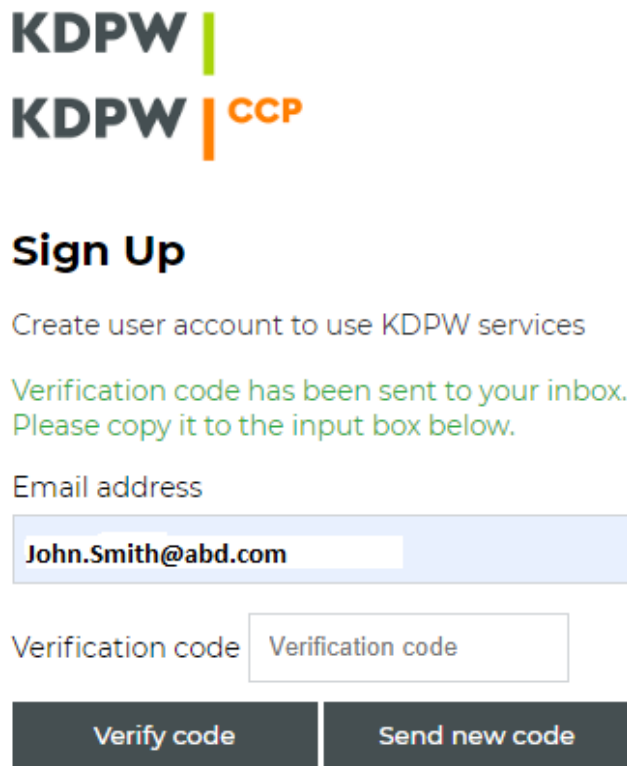
Given name

Surname

The user will receive an e-mail with the required for further registration code, as shown below:



Enter the received code into the "Verification code" field as shown below:



By entering the received code in the "Verification code" field and then clicking "Verify code" button, the information about the correct verification of the email address will be displayed which means the possibility of continuing to set up an account (or a message about the incorrect code verification will be displayed and the possibility of another try). In case of positive verification below steps should be taken:

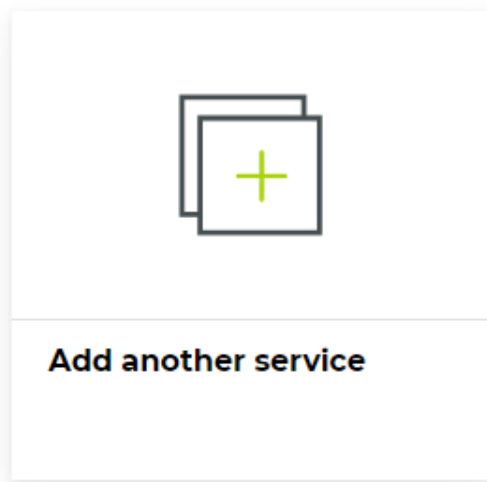
- set and confirm password. The password must meet the following complexity requirements:
  - must consists of at least 8 characters
  - must contain characters from 3 out of the possible 4 categories:
    - uppercase Latin letters (from A to Z)
    - lowercase Latin letters (from a to z)
    - decimal system digits (from 0 to 9)

- non-alphabetic characters (for example!, \$, #,%)
- enter user „Given name” and „Surname”,
- accept the “Personal data processing consent”,
- and confirm having read „information clause”.

After completing all of the above, the "Create" button is activated. After clicking it, the user account will be created.

## 2. Authorization

With an active account, Sign in to the SFT application. Then click on the form as shown below:



As a result another page will appear with the choice of services, where select the appropriate banner that defines the SFT service. The tile is entitled "Trade Repository (SFTR)".

 A screenshot of a web application interface. On the left is a vertical sidebar with three items: "My profile" (with an info icon), "Access requests" (with a document icon), and "New access request" (with a document icon and a plus sign, highlighted in grey). The main content area is titled "New access request" and "Select the service you want to get access to". At the top right of the main area is a yellow informational banner with a small 'i' icon and the text: "If you have a valid electronic certificate issued by KDPW, you can use it to transfer your existing access rights by yourself. Please click the button below." Below this banner is a dark grey button labeled "Certificate migration". The main area contains a grid of eight service tiles, each with a diamond-shaped icon and text:
 

- Securities issue registration** (Central Depository)
- Issuers' obligations** (Central Depository)
- General meetings** (Central Depository)
- Corporate actions** (Central Depository)
- kdpw\_stream statistics** (Central Depository)
- KDPW\_CCP core services** (Clearing House)
- Trade Repository (EMIR)** (Transaction Reporting)
- Trade Repository (SFTR)** (Transaction Reporting)

After clicking the "Transaction Repository (SFTR)" tile another forms will appear as shown below. Enter the user's data in the required fields and click "Continue button". In the next form put the institution's data, particularly institution code previously received from KDPW and choose one of choice buttons defining "User role": "Service user" or "Service administrator within the institution". The institution's code is given by KDPW upon request submitted by a SFT service participant. The Access application validates the entered institution code and accepts only the code that is set up in the SFTR repository system databases.

**New access request**

Transaction Reporting: **Trade Repository (SFTR)**

**Enter your data**

Full name: John Smith

User login: John.Smith@abd.com

Contact email: John.Smith@abd.com ✓

Buttons: Cancel, Continue

**Summary**

- > User data

**New access request**

Transaction Reporting: **Trade Repository (SFTR)**

**Request to represent the institution**

Institution Id issued by KDPW: [Red border, ❶]

Field is required

Institution role: [Empty field]

Institution name: [Empty field]

User role:

- Service user
- Service administrator within the institution

Buttons: Back, Continue

**Summary**

- ▼ User data
  - Full name: John Smith
  - User login: John.Smith@abd.com
  - Contact email: John.Smith@abd.com
- > Institution data

## New access request

Transaction Reporting: **Trade Repository (SFTR)**

User data      Institution data      Summary

---

**Summary**

▼ **User data**

Full name: **John Smith**      User login: **John.Smith@abd.com**  
 Contact email: **John.Smith@abd.com**

▼ **Institution data**

Institution Id issued by KDPW: **Rxxx**  
 Institution name: **ABD URUO**  
 Institution role: **Member**      User role: **Service administrator within the institution**

GDPR information clause

1) The controller of your personal data is Krajowy Depozyt Papierów Wartościowych S.A. ("KDPW"), entry in the register KRS 00000357452, with its registered seat in Warsaw (00-498), address: ul. Książęca 4, room 6089A, which can be contacted in writing by mail at the address above or by email at kdpw@kdpw.pl, and Krajowy Depozyt Papierów Wartościowych S.A. ("KDPW"), entry in the register KRS 00000357452, with its registered seat in Warsaw (00-498), address: ul. Książęca 4, room 6089A, which can be contacted in writing by mail at the address above or by email at kdpw@kdpw.pl.

I confirm that I have read the information clause above

[Back](#)      [Submit request](#)

It is possible to return to previous pages and correct improperly entered data. After completing the required fields, a summary of the entered data will be displayed for final acceptance before the submission. If everything is accurate, confirm you have read the GDPR information clause, and click "Submit request" button.

If all the data is entered correctly, the information about the correct saving will be displayed, and a new record awaiting for approval by KDPW or by Service Administrator within the institution will appear in the "Access requests" tab as shown below. As a result an email information with enclosed Statement to be filled in and duly signed is sent to the user's email address.

If the application is subject to KDPW approval, the completed and duly signed Statement (by persons authorized to represent the participant) should be send in original to the KDPW to be subject to formal and substantive verification.

Important! The request to establish a "Service administrator within an institution" may be accepted exclusively by KDPW.

### Submitted access requests

Search for an access request by ID:

[Details](#) [Refresh](#) [Delete](#)

Created	Service	Institution / LEI	User	Status
	<input type="text"/>	<b>ADM</b> <b>XXX</b>	<b>XXX</b>	Nowy
03-03-2020 10:09:37	Trade Repository (SFTR)	<b>ADM</b> <b>XXX</b>	<b>XXXX</b>	New

16 elementów na stronie

1 - 1 z 1 elementów



After accepting the access request by the Repository, an email message is sent to the email address bearing information the request has been approved and the application can be Signed in. The message contains the detailed information about the request, the applicant and participant. The sample message is on the next page.

**KDPW**

Dear Sir or Madam,

Thank you for having submitted a request for access to KDPW application. **Your request has been received.**

Your application access request will be approved after your authorization to act on behalf of KDWP Participant has been positively verified. For that purpose, please print, sign according to rules of representation, a declaration which has been attached to this message and send a scan of this document to the Repository's e-mail address: [sfr@kdpw.pl](mailto:sfr@kdpw.pl).

If a KDPW Participant created an administrative role in the application, an access request for a user may be approved by the administrator. **In this case it is not necessary to pass the declaration to KDPW as Participant's internal procedures apply.**

When the access is granted, we will inform you about it in a separate email.

---

### Details

**Your application data:**

Application ID: AAA57CC3-48BD-4C6B-818F-EB81550DE3F5  
Submitted: 28-04-2020 14:59:12  
Service: Trade Repository (SFTR)  
Environment: test (TST)  
Notes: Access request has been submitted

**Details of applicant:**

First and Last Name: John Smith  
ID: John.Smith@abd.com

**Details of KDPW Participant:**

Institution code: Rxxx  
Institution name: ABD  
Institution role: Member

In case of any doubts, please see information available at KDPW's website: <http://www.kdpw.pl/en/Trade-repository-SFTR/Pages/default.aspx>

In case the access request in role of user is subject to acceptance by the "administrator of the service within the institution", the administrator approves or rejects the request using the form located in the "Access request" tab shown below. Select the line, then press Details button as shown below

Created	Service	Institution / LEI	User	Status
28-04-2020 14:59:12	Trade Repository (SFTR)	RZ86 Wojtek URUO	Wojciech.Olczyk@kdpw.pl	Accepted

As a result the mentioned form will appear.


**Access request: C9810874-E756-4FED-BD07-60E4EA1CC4AD**

Form:	Access request sent by form
Submission date:	27-04-2020 14:19:18
Service:	Trade Repository (SFTR)

---

<b>Institution data:</b>		<b>User data:</b>	
Institution Id:	<b>Rxxx</b>	User ID:	CA02D6C9-4836-4B0C-8E2D-22ACF6D09BA6
Institution name:	<b>ABD</b>	User login:	<b>John.Smith@abd.com</b>
Institution role:	Member	Full name:	<b>John Smith</b>
User role:	User	Contact email:	<b>John.Smith@abd.com</b>
		PESEL:	-
		Date of birth:	-

---

Status:	 New	<b>Change status:</b> Comments: <input type="text"/> <input type="button" value="Correct as to content"/> <input type="button" value="Reject"/>
Last change date:	27-04-2020 14:19:18	
Comments:	Access request has been submitted	

---

**Current applicant permissions:**

<input checked="" type="checkbox"/> Access to services	<input type="checkbox"/> Administers services
--	---

After approval of the request, a green pop-up banner is displayed with the information: **Accepted**.

After the request is accepted, the user receives information by an email, confirming that the request has been approved and confirming access as shown below.



Dear Sir or Madam,

Thank you for having submitted a request for access to KDPW application. **Your request has been approved.**

The application is available at: <https://tst-online.kdpw.pl/> To log in, you need to enter your id and password.

## Details

### Your application data:

Application ID: AAA57CC3-48BD-4C6B-818F-EB81550DE3F5  
Submitted: 28-04-2020 14:59:12  
Service: Trade Repository (SFTR)  
Environment: test (TST)

### Details of applicant:

First and Last Name: John Smith  
ID: John.Smith@abd.com

### Details of KDPW Participant:

Institution code: Rxxx  
Institution name: ABD URUO  
Institution role: Member

In case of any doubts, please see information available at KDPW's website: <http://www.kdpw.pl/en/Trade-repository-SFTR/Pages/default.aspx>

## Additional information

- The function of application user allows to transfer information to KDPW with this application.
- An application administrator can grant and revoke user access to this application. An administrator cannot grant application user access to themselves; their access request can be accepted by KDPW only. An administrator does not hold permissions to grant access to other users holding an administrator role.
- The application is covered with uniform access control which allows, under owned permissions, to also use other KDPW applications covered with the same access control system.

In case of request rejection, a red pop-up banner is displayed with the information: **Rejected**. At the same time, the requesting access user receives an email with information of the request rejection and additional information section indicates the options for taking further steps.

### III. Logging in to the SFT application

To sign in to the application, the Repository participant visits the KDPW website, selects the appropriate tab (SFT transaction reporting). A subpage is launched, on which the user is asked to provide login and password as shown below:



#### Sign in

Please sign in to the system to use KDPW Group services

Email Address

Password [Forgot your password?](#)

Don't have an account? [Sign up now](#)




PL | EN



After successful sign in the main application screen is entered as shown below:

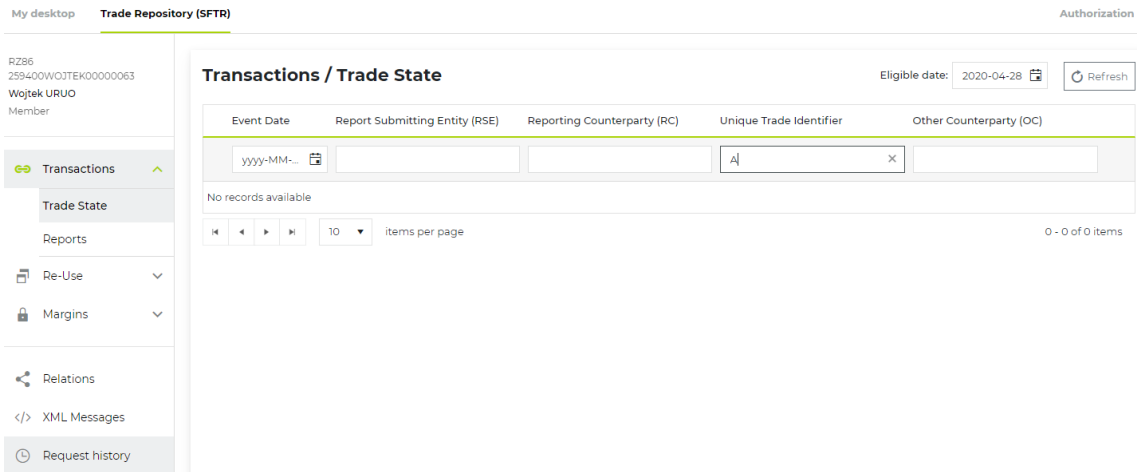
My desktop

## Choose one of your services

		
<b>Trade Repository (SFTR)</b> Transaction Reporting	<b>Manage permissions</b> Administrator	<b>Add another service</b>

## IV. Functionalities of the SFT application

After clicking the "Trade Repository (SFTR)" tile the following menu opens:



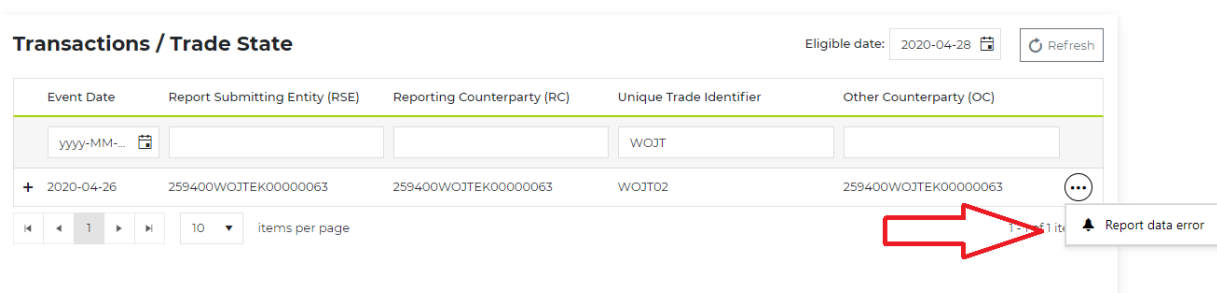
From the menu on the left side the user can select the needed functionalities. Clicking the correct tab redirects to the appropriate pages.

### 1. Transactions

The tab shows the transaction reports and Trade states submitted by a participant on own name and on behalf of entities the entity represents. It is possible to filter the records of Trade States tab by the following criteria:

- Event date
- Reporting Counterparty (RC) LEI,
- Report Submitting Entity (RSE) LEI,
- Other Counterparty (OC) LEI,
- Unique Trade Identifier.

After finding the requested data, the user can view the item details and the list of reports that have been sent to the Repository. You can also report an error to the reported data. In addition, the possibility of reporting an error to the data also exists in the "ReUse" and "Deposits" tabs in the same way as in the "Transactions" tab. The example of Reporting date error is shown below.



## 2. Re-Use

The tab contains information about positions built on the basis of collateral Re-use reports sent by a participant. The available filters are presented below:

**Re-Use / Positions** Eligible date: 2020-04-28 Refresh New Re-Use report

Event Date	Reporting Counterparty (RC)	Report Submitting Entity (RSE)	Entity Responsible For Report (ERR)
yyyy-MM-...			
2020-03-15	259400WOJTEK00000063	259400WOJTEK00000063	259400WOJTEK00000063

**Position details** | Reports list

Event Date	Reporting Counterparty (RC)	Report Submitting Entity (RSE)	Entity Responsible For Report (ERR)
2020-03-15	259400WOJTEK00000063	259400WOJTEK00000063	259400WOJTEK00000063

**Securities collateral**

Securities collateral list

ISIN	Used	Estimated
PL0000106068	-	86,380,272.44572 PLN

The "New Re-Use report" button launches a dedicated for reporting Re-use form, consisting of five steps that a participant must follow to build an xml message auth.071.01.01.

**New Re-Use report**

1 Report definition | 2 Funding source | 3 Securities collateral | 4 Cash collateral | 5 Summary

**Report details**

Action Type:  Event Date: 2020-04-28

Technical record id:

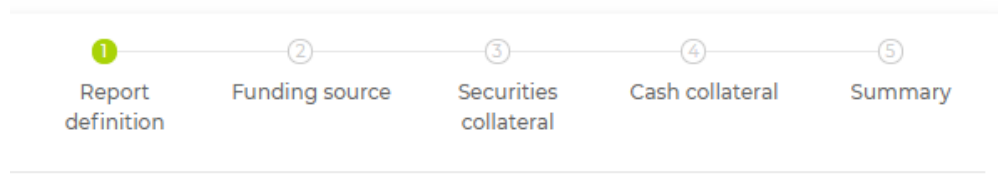
**Institution data**

Report Submitting Entity (RSE): 259400WOJTEK00000063

Reporting Counterparty (RC):

Entity Responsible For Report (ERR):

The sequential steps to be taken one after another to provide data are as shown below:



### 3. Margins

The tab contains information about Positions built by a participant based on margin reports. The tab allows to filter and view data sent.

#### Margin / Positions

Eligible date: 2020-04-28 Refresh

Event Date	Reporting Counterparty (RC)	Report Submitting Entity (RSE)	Entity Responsible For Report (ERR)
<input type="text" value="yyyy-MM-..."/>	<input type="text" value="259400P"/>	<input type="text"/>	<input type="text"/>
2020-04-03	259400PAWELPOR000023	259400PAWELPOR000023	259400WOJTEK00000063

Position details		Reports list	
Event Date 2020-04-03	Collateral Portfolio B2		
Reporting Counterparty (RC) 259400PAWELPOR000023	Report Submitting Entity (RSE) 259400PAWELPOR000023	Entity Responsible For Report (ERR) 259400WOJTEK00000063	Other Counterparty (OC) 259400WOJTEK00000063
Initial Margin Posted 1,560 EUR	Variation Margin Posted 1,430 HUF	Excess Collateral Posted 14,670 PLN	
Initial Margin Received 1,670 EUR	Variation Margin Received 14,560 HUF	Excess Collateral Received 14,530 PLN	

### 4. XML Messages

The tab enables to send xml reports, filter, view and download the sent up reports. The filters allow to choose the reports sent "IN" and "OUT" of Repository (which means from or to the Repository), and to select reports depending on the message type and date & time. Types of supported messages:


- auth.052.001.01 – a message used to submit reports on SFT transaction details,
- auth.070.001.01 – a message used to submit reports on margins,
- auth.071.001.01 – a message used to submit reports on Re-use,
- auth.031.001.01 – status message in response for all messages forwarded to the KDPW Repository,
- auth.080.001.01 – status message containing the reconciliation process feedback,
- auth.rlt.001.01 – KDPW own message, employed to be consistent with the obligation to define the relationship between RSE and RC in the KDPW\_TR databases system,


- auth.ntf.001.01 – KDPW own message used to communicate with RSE participants in order to forward notification of an error reported by a counterparty to a transaction - RC.
- end of day messages – EoD, forwarded to participants:
  - auth.079.001 – trade state – last SFT transactions states,
  - auth.080.001 – reconciliation status- reconciliation status of reported transactions,
  - auth.083.001 – Uncollateralized, missing collateral – list of transaction’s UTI reported as collateralized but without collateral details,
  - auth.084.001 – Rejections - transaction reports rejected on a given day,
  - auth.085.001 – Margin trade state – last reported margin state,
  - auth.086.001 – ReUse trade state – last reported Re-use state,

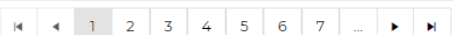
After finding the needed data, it is possible to view it online or download in xml format.

## XML Messages

 Refresh

 Upload XML message

Direction	Sender	Receiver	Message type	Date and time
<input type="text"/>			<input type="text"/>	yyyy-MM-... 
+ OUT	R001	RZ86	auth.084.001.01	2020-04-28 10:04:12 ...
+ OUT	R001	RZ86	auth.052.001.01	2020-04-28 03:00:11 ...
+ OUT	R001	RZ86	auth.079.001.01	2020-04-28 03:00:08 ...
+ OUT	R001	RZ86	auth.080.001.01	2020-04-28 03:00:06 ...
+ OUT	R001	RZ86	auth.086.001.01	2020-04-28 03:00:05 ...
+ OUT	R001	RZ86	auth.083.001.01	2020-04-28 03:00:05 ...
+ OUT	R001	RZ86	auth.084.001.01	2020-04-28 03:00:05 ...
+ OUT	R001	RZ86	auth.085.001.01	2020-04-28 03:00:05 ...
+ OUT	R001	RZ86	auth.031.001.01	2020-04-27 14:03:56 ...
+ OUT	R001	RZ86	auth.031.001.01	2020-04-27 14:03:54 ...


 items per page
 1 - 10 of 360 items

In the upper right corner there is the "Upload XML message" button, through which the KDPW Repository participant can send several types of messages from the station located on the Participant's side, where the xml report was prepared. The following messages may be forwarded to the repository using button "Upload XML message" functionality:

- auth.052.001.01 – a message used to submit reports on SFT transaction details,
- auth.070.001.01 – a message used to submit reports on margins,
- auth.071.001.01 – a message used to submit reports on Reuse,
- auth.rlt.001.01 – KDPW own message, employed to be consistent with the obligation to define the relationship between RSE and RC in the KDPW\_TR databases system, referred to in § 12 subpara. 6 of the Rules,



After selecting the appropriate xml file, the participant approves the choice by clicking "Upload". After the file has been successfully sent, the confirmation is displayed on the screen. The submitted xml report is visible then in the "XML Messages" and "Request history" tabs. Find the illustration below.

### Upload XML message

Message type  
 ▼ ✓

File to upload  
 ✓

**File** ×

File 1000000000004742.xml has been uploaded

The processing of transmitted messages (reports) is carried out in accordance with the KDPW\_TR SFTR functional documentation.

After receiving the message, the Repository system performs an on-line validation and returns its results through the message auth.031.01. The status message is then visible in the "XML Messages" tab.

#### 5. Request history

The tab presents historical reports sent by a participant (regarding both transactions and Re-use of received collateral), as well as errors in reports sent by the participant on behalf of other entity, where at the same time the participant was a counterparty - RC.

### Request history

Institution	Form type	Send date and time	Status
	<input type="text" value="▼"/>		
+ RZ86	Uploaded XML message	2020-04-28 13:47:42	✘ Rejected
+ RZ86	Uploaded XML message	2020-04-27 14:03:54	✔ Accepted
+ RZ86	Uploaded XML message	2020-04-27 14:03:10	✘ Rejected
+ RZ86	Uploaded XML message	2020-04-27 14:02:17	✔ Accepted