
Technical Specifications

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SEDOL MASTERFILE PRE-ALLOCATION SERVICE

Version 2.1



London
Stock Exchange Group

Technical Specifications

SEDOL Masterfile ® Pre-Allocation Service

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2.0	1 st September 2015	Updated – Kristina Sutton
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1.0 PREFACE

This document provides User specification for the pre-allocation of the London Stock Exchange's SEDOL and ISIN codes hosted on the UnaVista Platform.

The London Stock Exchange/UnaVista may amend this User Specification at any time by the provision of at least two months' written notice or on less notice in the event that:

1. changes of a User nature are to be made; or
2. rights owners' of third party data within the Data make a change that affects the provision of such third party data to the UnaVista and/or customers of the UnaVista; or
3. matters beyond the reasonable control of UnaVista require that a change be made and the provision of two months' notice is not possible or would be detrimental to the Site, service and/or customers of the UnaVista (provided always that as much notice as is reasonably practical in the circumstances is given).

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2.0 REFERENCES

2.1 Documentation

The following documents are available on the Exchange's website:

SMF User Specification (latest version)

<http://www.lseg.com/markets-products-and-services/post-trade-services/unavista/unavista-solutions/data-solutions/sedol/documentation>

2.2 Terms

The following terms are used throughout this specification:

Term	Description
UnaVista	Software platform hosting SEDOL Masterfile™
SMF™	SEDOL Masterfile™ application and database
Reserved Codes	Pre-allocated codes prior to loading back into SMF.
OrganisationID	Specified by the UnaVista as part of the set-up procedure

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3.0 INTRODUCTION

3.1 Background

Certain clients who issue their own instruments, require a SEDOL &/or ISIN code within their own instrument creation workflow. To facilitate this, UnaVista provides Reserved Codes for the client to use in their internal processes. Once the codes have been allocated to an instrument by the client, it is then the client's responsibility to load the new instrument information, including SEDOL code, back into the SMF database.

Each loaded file is processed and validated against SMF via our standard Bulk Upload procedure, with additional verification related to ownership of the allocated codes. Where validation fails, the client is informed via an automated email and they will be expected to manage their upload errors which are found within the Error Folder as specified in section 4.7 *Validation and error reporting*.

As part of initial on-boarding, training will be provided by the SMF team to ensure the fields are understood and correctly populated prior to loading. A guide has also been provided in Appendix B detailing the field format and mandatory field requirements.

3.2 Document Purpose

This document presents the specification for the SMF Pre-Allocation service only. This document should be read in conjunction with the SEDOL Masterfile User Specification.

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4.0 PROCESS OVERVIEW

4.1 Process overview

Reserved codes are supplied to the client inside a tab separated template. Codes can be sent manually via email or automated via FTP. The template used to deliver the Reserved Codes is the same template which requires population by the client and, once populated, is then uploaded back into the SMF system. The upload process can also be manual or via FTP. The uploaded file is validated against SMF and any data failing validation will not be uploaded. On completion of upload a report is generated to advise completed and error rows. The report is delivered via email and is also available to view via UnaVista. Unsuccessful rows will require correction and need to go through the upload process again.

As Reserved Codes are uploaded the number of Reserved Codes available to the client is reduced. Subsequent batches of Reserved Codes can be requested and delivered manually or automated via FTP. FTP for subsequent file delivery is based on a usage threshold. When the agreed threshold is reached a new batch of Reserved Codes is generated and delivered to the client via FTP.

A Data Flow Diagram to outline the process is available in Appendix A.

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5.0 SEDOL/ISIN CODE ALLOCATION

5.1 Reserved Code Requests

SEDOL &/or ISIN codes will be provided at an agreed volume and time based on required number of codes.

Clients using our pre-allocated ISIN service must ensure that **Unit of Quotation Currency** field is populated at the time of upload along with the highlighted fields stated in Appendix B, *File Upload Definition*.

{Put a X against the required codes}

SEDOL [] SEDOL & ISIN []

If ISIN required, please indicate jurisdiction

{Put a X against the Country Code}

GB [] GG [] JE [] IM []

The client will receive the following number of codes initially and in each subsequent code request:

{Put a X against the required number}

100 Reserved Codes []

1,000 Reserved Codes []

10,000 Reserved Codes []

The client will receive a new batch of SEDOL codes when the remaining number of unallocated codes reaches the following number; as agreed with the UnaVista:

Resend new file when [] Reserved Codes remain unallocated.

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5.2 SEDOL File Format

Reserved Codes will be provided in a Tab Delimited format (.txt) using the following naming convention supplied by UnaVista:

BR{ _UAT }_ {org name} _ {organisationID} _ DDMMYYYY.txt

The file will neither be compressed nor password restricted.

5.3 Reserved Codes Distribution

Reserved Codes can be sent as an attachment by email or via FTP. Where required, the first batch of Reserved Codes can be sent in a different format to subsequent batches.

First batch of Reserved Codes should be made available via:

{Put an X against the required method}

Email: []

FTP: []

Email address:

Subsequent batches of Reserved Codes should be made available via:

{Put an X against the required method}

Email: []

FTP: []

Email address:

Where FTP is chosen, the file collection details supplied by the UnaVista will be as follows:

FTP URL:

File Name:

Username:

Password:

An email alert can also be sent to notify FTP is ready for collection. This will be sent to the following email address:

Email:

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5.4 SMF File Upload

The client is requested to upload new instruments on the day of allocation. The client can also choose whether to upload the populated file manually, or return the file via FTP for automatic upload.

{Mark an X in the box to indicate which service is being used}

Manual Upload: [] via the following URL and using the following access details supplied by UnaVista:

URL:

Username:

Password:

(If more than one username is required, these will be provided and maintained separately.)

The file must be uploaded using the following naming convention as defined by the UnaVista:

BulkUpload_{organisationID}_YYMMDD.txt

Hours and minutes can be introduced to the file name for multiple files within the same day.

FTP Automated Upload: []

The file must be uploaded using the following naming convention as defined by the UnaVista:

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5.4 SMF File Upload (Cont/2)

BulkUpload_FTP_{organisationID}_YYMMDD.txt

Hours and minutes can be introduced to the file name for multiple files within the same day.

Where FTP is chosen, the file collection details supplied by the UnaVista will be as follows:

FTP URL:

File Name:

Username:

Password:

UnaVista's SMF system will look for a new file at the following times each business day:

{Specify frequency of FTP file request}

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5.5 Upload restrictions

The following restrictions apply to the Client when loading data using Reserved Codes:

Uploads relating to Security types call options (CM), put options (CN) & futures (DD), will be limited to these types.

5.6 Validation and error reporting

Whether the client uploads the file manually or via FTP, an error report will be generated which will be accessible from the UnaVista website using the user details provided by UnaVista. An email alert will also be sent to the user details who loaded the file notifying of this.

Error Folder Location: {Specific location will be provided by UnaVista upon set-up}

It is the responsibility of the client to manage their upload errors located within the Error Folder specified above.

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6.0 SEDOL UnaVista Access

All clients, including those using FTP, will be given access to the UnaVista application. Access includes use of the SEDOL Masterfile lookup service. Additionally for FTP clients, this will act as an alternative upload method in the event of FTP failure.

Clients using the manual process will require a separate user access for each individual uploading files. Clients using FTP can use a collective or team email for FTP access, as well as separate individual user access if required.

The SMF Team can be contacted for data support issues using the following:

Email: smfnewissues@lseq.com

User support for file transfer related issues should be directed to UnaVista support using the following details:

Email: UnaVistaHelp@lseq.com

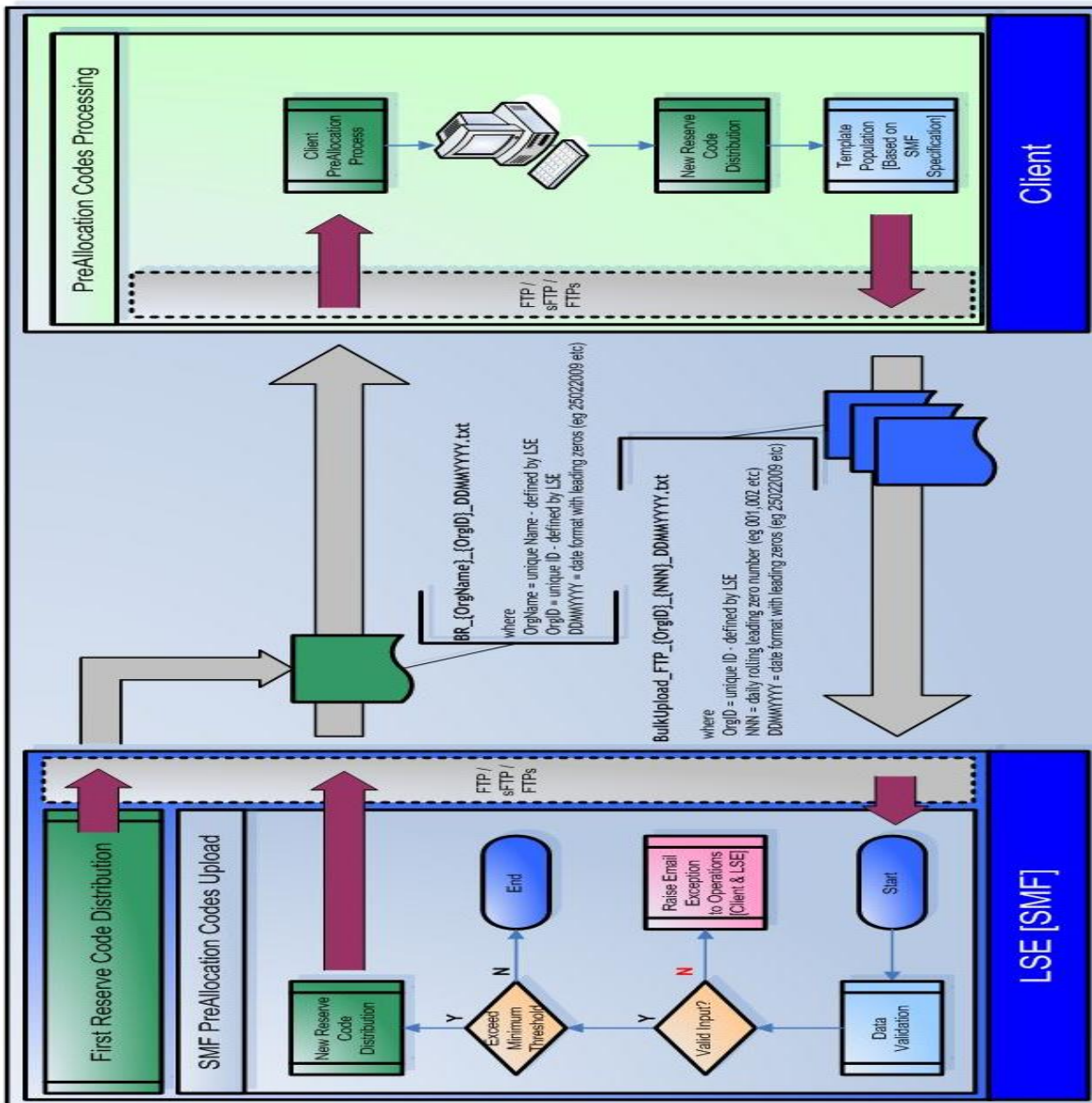
User names and passwords will be sent under separate cover.

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7.0 APPENDIX

A. Data Flow Diagram



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B. File Upload Definition

The following table defines the headers required to import data for the bulk reservation process.

- The file must be in tab delimited(.txt) format
- The Field Names **highlighted** are mandatory fields that must be populated.

Field Name	Format	Notes
ActionIdentifier	CHAR (3)	SEC - Security
ClientReference		
IssuerID	INT	
IssuerName	VARCHAR (35)	“Defined List”
AlternateIssuerName	VARCHAR (35)	
CountryOfIncorporation	CHAR (2)	ISO Country Code (3166)
SEDOLCode	CHAR (7)	Pre-allocated
SecurityDescription	VARCHAR (40)	Concatenation of mandatory fields
ShortDescription	VARCHAR (18)	
ISINCode	VARCHAR (12)	If applicable pre-allocated GB,GG,IM,JE ISIN
ClosingDate	DATE	DD-MM-YYYY
ClosingDateType	VARCHAR (3)	UnaVista Defined Type – ‘EXP’

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Field Name	Format	Notes
SecurityForm	CHAR (1)	'A' – Registered or 'P' - Bearer
SecurityType	CHAR (2)	SMF Security Type Code
AmntOfTransfer1	DEC (18,4)	
AmntOfTransfer2	DEC (18,4)	
AmntOfTransfer3	DEC (18,4)	
AmntOfTransfer4	DEC (18,4)	
CouponInterestRate	DEC (18,8)	
ParValue	DEC (18,8)	
ParValueCurrency	CHAR (3)	
UnderlyingIssuer	CHAR (35)	
UnderlyingInstrument	VAR CHAR (12)	Underlying ISIN
Restrictions	VAR CHAR(10)	'144A' or 'RegS' – If Applicable
StrikePrice	DEC (18,8)	
StrikePriceCurrency	CHAR (3)	
CFICode	VARCHAR (6)	Calculated based on security type
CountryOfRegister	CHAR (2)	ISO Country Code (3166)

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Field Name	Format	Notes
PrimaryListing	BIT	'1' False or '0' True
SecurityStatus	CHAR (1)	UnaVista Defined Status – 'T' Tradable or 'C'
OfficialPlaceOfListing	VARCHAR (4)	ISO Market Identification Code (10383)
UnitOfQuotationCurrency	CHAR (3)	ISO Currency Code (4217)
MIC	VARCHAR (4)	ISO Market Identification Code (10383)
ActivationDate	FUTURE DATE	DD-MM-YYYY