

SEDOL Masterfile

User Guide

Version 2.0

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London
Stock Exchange Group

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Introduction

1.0 Introduction

The Stock Exchange Daily Official List codes “SEDOLs” were introduced by the London Stock Exchange (the Exchange) to the UK market in 1968, as a means of identifying securities that were traded on the London Stock Exchange. Nowadays a SEDOL can be assigned for any security whether it is unlisted or indeed traded/listed on any Stock Exchange or trading venue. SEDOLs are now used by financial markets as one of the main identifiers of globally traded securities.

The Exchange has over 20 years of experience as the UK’s National Numbering Agency for the assignment of International Securities Identification Numbers (ISINs) and Classification of Financial Instrument (CFIs) and is also a member of the Association of National Numbering Agencies (ANNA).

The SEDOL Masterfile (SMF) hosted on the UnaVista platform enables you to search, filter and create SEDOLs in the SMF Database. You can also create multiple SEDOLs by using the Bulk Upload functionality (subject to specific Bulk Upload training and permission). In addition to this, you can also challenge or query a SEDOL by submitting an Update Request online.

Welcome Screen

2.0 Welcome Screen

Once you have successfully logged on to the SEDOL Masterfile database, the following Welcome screen is displayed.

The screenshot shows the SEDOL Masterfile database interface. The left pane displays a folder tree with the following structure:

- SEDOL Masterfile
 - SEDOL Masterfile Issuers (0.250M)
 - SEDOL Masterfile Securities (14.99M)
 - SEDOL Masterfile Bulk Upload
 - SEDOL Masterfile Reference Data Dictionary (1)
- CDAF
- LEI
- UnaVista Trade Repository Aggregation Data

The right pane displays the 'Welcome to UnaVista' message and contact information:

UnaVista - One view of your data
Welcome to UnaVista, London Stock Exchange Group's global hosted matching and reconciliation platform. UnaVista has a range of services including reconciliations, regulatory reporting, confirmation matching, reference data and other regulatory solutions.
[Find out more info here](#)

Contacts

- LEI Customer Support**
lei@lse.com
+44 (0)20 7797 3300
- SEDOL Masterfile Data Support**
smfnewissues@lse.com (SEDOL/ISIN requests, bulk upload and registration questions)
smftr@lse.com (Database queries)
+44 (0)3065 543 210 (premium line number, £1/min)
- Corporate Events Diary Data Support**
sed@lse.com
+44 (0)20 7797 1579/1920
- General Information**
unavista@lse.com
+44 (0)20 7797 1214

Annotations on the screenshot include:

- The Search facility enables you to search using the pre-configured searches
- The News tab displays any updates or news from the UnaVista team
- If configured, the Dashboard displays the pre-set charts giving a snapshot of data in the system
- The Folder Tree displays the folders available to you. These may differ depending on your access permissions. To access the content of the folder, click the number displayed next to the folder. The contents of the folder will be displayed in the right pane
- The Right Pane displays the recent news or updates from UnaVista as well as general contact information. Also, when you access a folder from the folders pane the details of the selected folder is displayed in the right pane

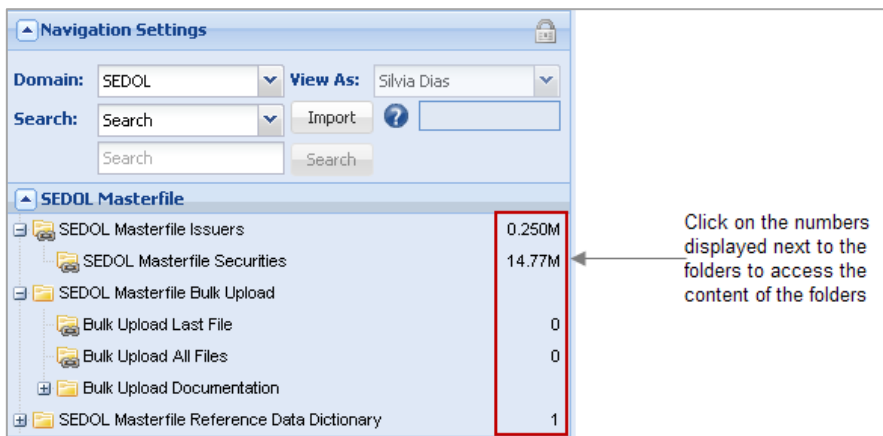
If you are unable to view the welcome screen above and you hold a SEDOL licence please email smfnewissues@lse.com so we can investigate this further

Folders

3.0 Folders

3.1 Folders Summary

The Folders pane is displayed on the left side of the screen just under the Navigation Settings box, within this pane a selection of folders would be available for you to access. Available folders will depend on your user profile and additional subscription services.



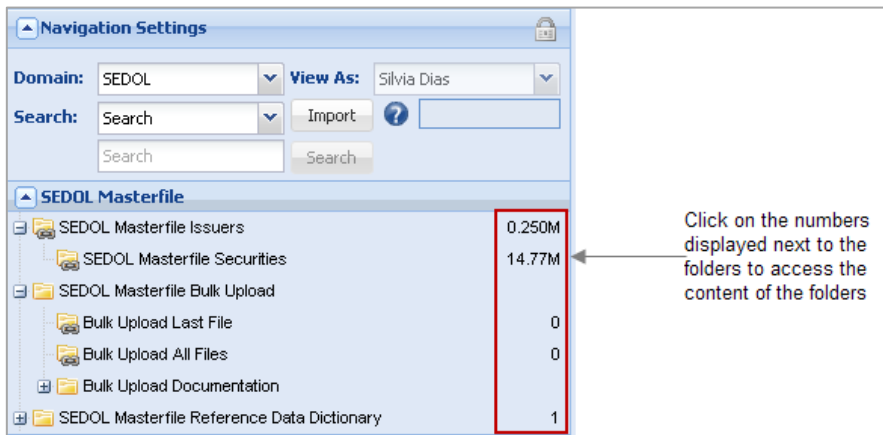
- **SEDOL Masterfile Issuers** – Contains a list of Issuer names as displayed in the SMF database.
- **SEDOL Masterfile Securities** – Contains a complete list of SEDOLs as displayed in the SMF database.
- **Bulk Upload Last File** – Contains the last Bulk upload file uploaded by the user for SEDOL assignment. *
- **Bulk Upload All Files** – Contains all of the Bulk upload files you have uploaded since receiving the Bulk upload permissions.
- **Bulk Upload Documentation** – Contains the relevant templates/documentation required to populate the Bulk upload form.
- **SEDOL Masterfile Reference Data Dictionary** – Contains pre defined enumerated values used within the SEDOL Masterfile data set.

* Subject to specific Bulk Upload training and permission. Please email smfnewissues@lseg.com.

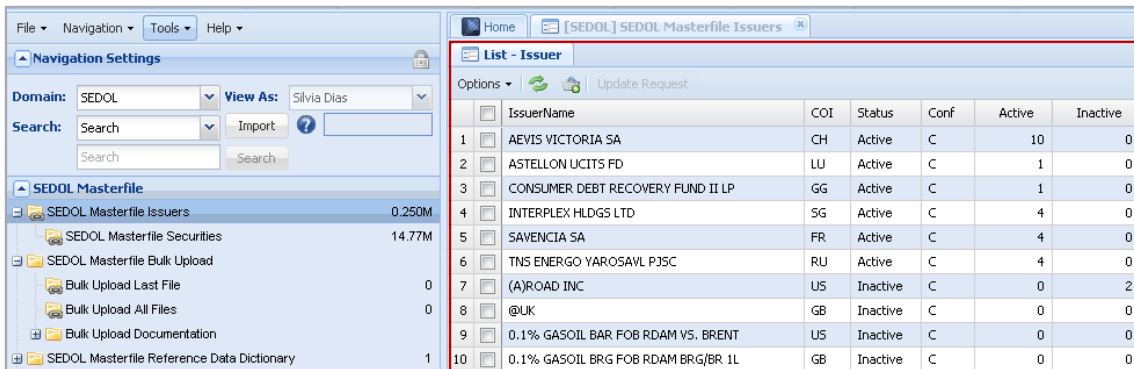
Folders

3.2 Accessing Folders

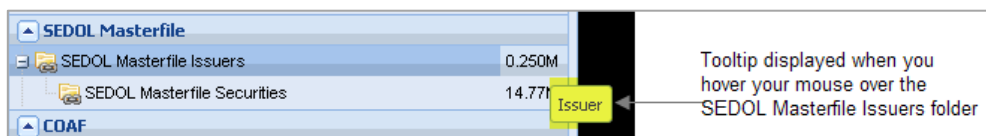
To access a folder click on the number next to the right of the folder name.



The contents of the folder will be displayed in the right pane.



Note: Please note that when you hover over a column, a tooltip is displayed, which provides more information about the folder.



Data

4.0 Data

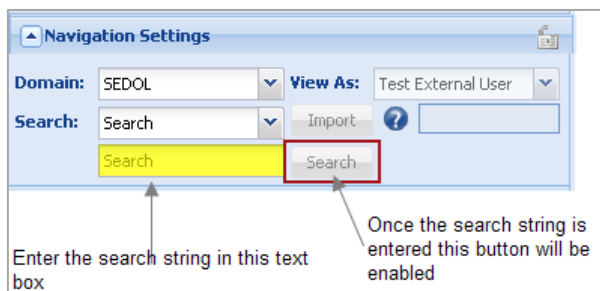
The Data section covers the following topics.

- [Searching for SEDOL – 4.1](#)
- [Data Layout – 4.2](#)
- [SEDOL – Drilldown View – 4.3](#)
- [Data Drilldown View – 4.4](#)
- [Customising Data – 4.5](#)
- [Add Custom Filter View – 4.6](#)
- [Field/Column Filter – 4.7](#)
- [Column Filter Different Options – 4.8](#)
- [Active Basket – 4.9](#)

Data-Search

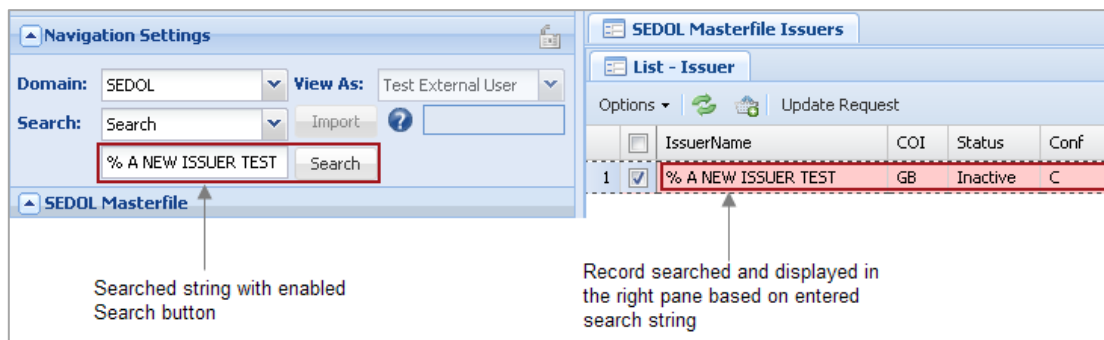
4.1 Searching for SEDOLs

You can search for a specific SEDOL within the database by using the **Search** button within the **Navigation Settings** pane. The Search functionality enables you to search reports based on a specific criteria, such as SEDOL, ISIN & Issuer name.



To search

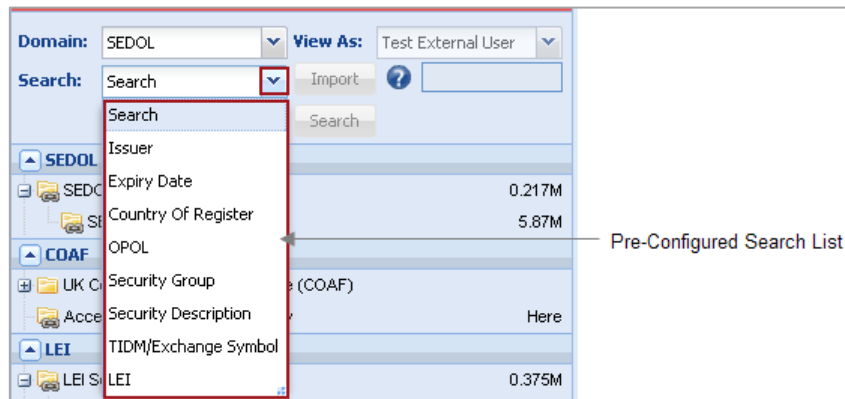
1. Enter the string that you want to search by in the **Search** text box within the **Navigation Settings** pane.
2. Click **Search**. Available matches will be displayed in the right pane.



Data-Search

4.1.1 Pre-Configured Custom Search

The Search drop-down within the Navigation Settings pane, displays a list of pre-configured searches.



The following pre-configured searches are available:

- **Issuer** – Search by the Issuer of the instrument.
- **Expiry Date** – Search by the instrument's expiry date.
- **Country Of Register** – Search by the Country where the share holder register is based
- **OPOL** – Search by the Official Place of Listing or in absence of that it would be the Place of Trade.
- **Security Group** – Search by the Security group (Equity/Debt/Other).
- **Security Description** – Search by description of the security.
- **TIDM/Exchange Symbol** – Search by the TIDM or Exchange Symbol.
- **LEI** – Search based on the LEI (Legal Entity Identifier).

Depending on which pre-configured search is selected, further search criteria fields may be given on the system across a selection of Search Identifiers (as listed above). For example, if you select **Expiry Date** from the **Search** drop-down, the **From** and **To** fields will be displayed.

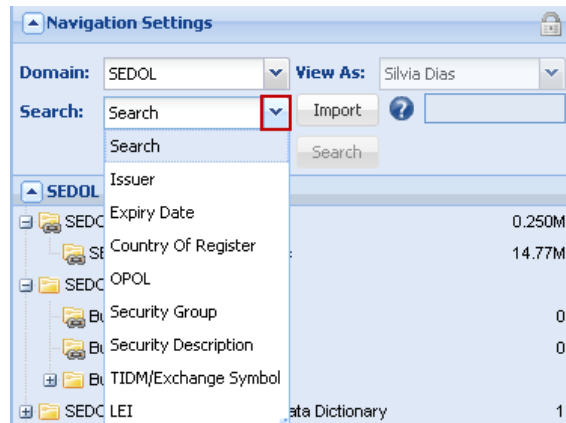
SEDOLs that match the search criteria will be displayed in the right pane.

This view will differ depending on the search criteria. For example, the Issuer search results displays a split screen with the top level showing the number of instruments issued per Issuer and the bottom screen displaying a drilldown to the individual instrument SEDOLs.

Data-Search

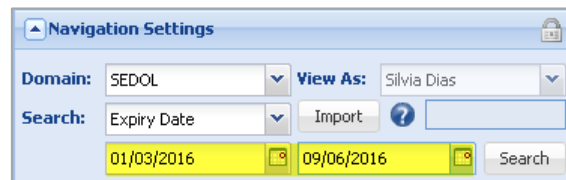
- **Issuer Search**

Select Issuer from the available options given in drop-down. Populate the first word in full and a couple characters of the second word then click search.



- **Expiry Date Search**

Select Expiry date in the drop-down. Populate the respective **From** and **To** dates then click **Search**. The SEDOLs matching the entered date range will be displayed in the right pane.

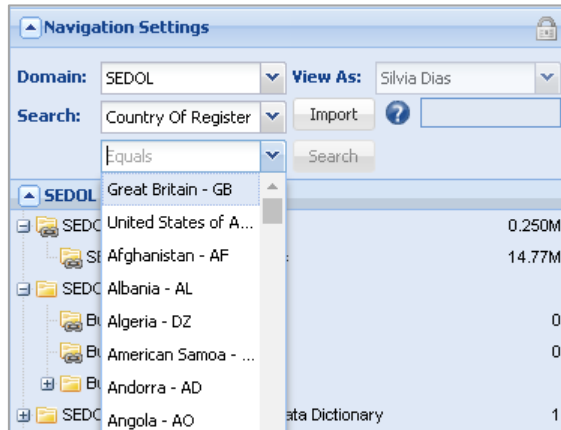


Note: The date format is always in the UK format (DD/MM/YYYY).

Data-Search

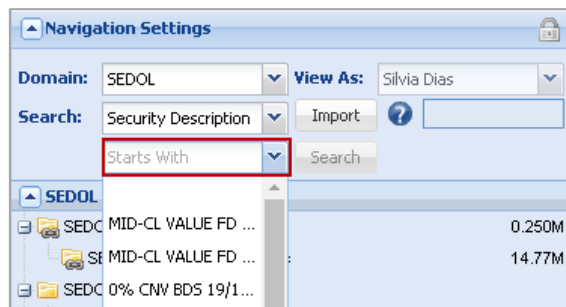
- Country Of Register, OPOL, Security Group, TIDM/Exchange Symbol

Select the Country of Register, OPOL, Security Group or TIDM/Exchange Symbol in the drop down and populate with the respective value, then click **Search**.



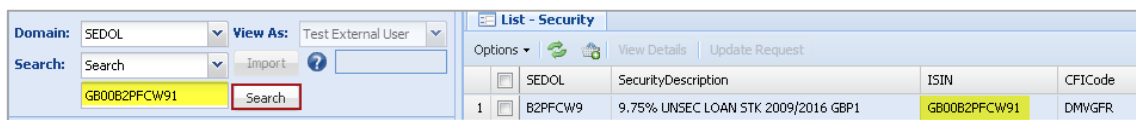
- Security Description

To search records based on Security Description, select the value that you want to search for within the **Starts With** drop-down box, then click **Search**. Matching records will appear in the right pane



- ISIN Search

Select ISIN from the available options given in drop-down. Populate in full with the ISIN code, then click search. Matching records will appear in the right pane




Data – Active Basket

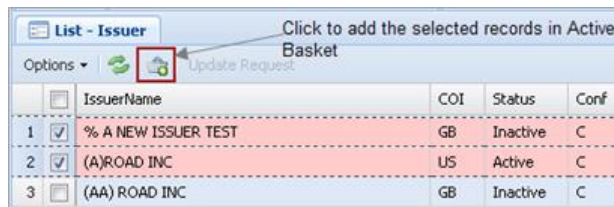
4.2 Active Basket

The Active Basket feature enables you to create a custom selection of SEDOLs and displays them in a separate tab. You can also extract the data into a text file or an Excel spreadsheet by using the **Export** function available in the **Options** drop-down list.

Note: In the Active Basket, you can add only the records that are displayed in the same folder and not records displayed in other folders.


4.2.1 Add Records to Active Basket Selection

1. Select the check box next to the record(s) that you want to add to the basket.
2. Click the **Add Active Select Basket**  icon to add the record(s) to the basket. The Active Selection Basket is displayed to the left of the active tab. This tab displays a number corresponding to the number of the records that are added to the basket.

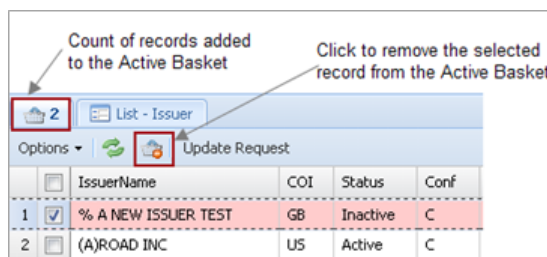


3. Click the **Active Selection Basket** tab to view the contents. The Active Selection Basket page will display the same buttons, options and functions associated with the Original View.

4.2.2 Remove Records from the Active Selection Basket

1. From the **Active Selection Basket**, select the record(s) that you want to remove from the Active Basket.
2. Click the **Remove Active Basket**  icon. The selected record is successfully removed from the Active Basket.

Note: To remove all the records from the Active Basket, click the check box next to the column header (i.e. the check box just below the Options button). This will select all the records and then click the Remove Active Selection Basket icon.



Data-Layout

4.3 Data Layout

SEDOL Masterfile Issuers folder

Issuer level information is displayed within this folder. From here you can drilldown into the selected Issuer to view the individual instrument SEDOLs.

Note: You can further drilldown on the selected SEDOL to access the Market level information.

List - Issuer							
Options Update Request							
	IssuerName	COI	Status	Conf	Active	Inactive	AlternateIssuerName
1	<input checked="" type="checkbox"/> AEVIS VICTORIA SA	CH	Active	C	10	0	
2	<input type="checkbox"/> ASTELLON UCITS FD	LU	Active	C	1	0	
3	<input type="checkbox"/> CONSUMER DEBT RECOVERY FUND II LP	GG	Active	C	1	0	
4	<input type="checkbox"/> INTERPLEX HLDGS LTD	SG	Active	C	4	0	
5	<input type="checkbox"/> SAVENCIA SA	FR	Active	C	4	0	
6	<input type="checkbox"/> TNS ENERGO YAROSAVL PJSC	RU	Active	C	4	0	
7	<input type="checkbox"/> (A)ROAD INC	US	Inactive	C	0	2	

Page 1 of 5002 | List Limit 50 | Total Count 250063 | 1 Row(s) Selected | Page Filter:

List - Issuer										
Options Issuer Name Change (Existing) Issuer Name Change (New Issuer) Delete										
	IssuerName	IssuerID	COI	Status	Conf	Active	Inactive	Reserved	Alt Issuer Name	IssuerShort
1	<input checked="" type="checkbox"/> AEVIS VICTORIA SA	100177641	CH	Active	C	10	0	No		AEVIS VICT
2	<input type="checkbox"/> ASTELLON UCITS FD	100176986	LU	Active	C	1	0	No		ASTN UCIT
3	<input type="checkbox"/> CONSUMER DEBT RECOVERY FUND II LP	100194511	GG	Active	C	1	0	No		CONR DEBT
4	<input type="checkbox"/> INTERPLEX HLDGS LTD	100177495	SG	Active	C	3	1	No		INTX HLDG
5	<input type="checkbox"/> SAVENCIA SA	100177182	FR	Active	C	4	0	No		SAVENCIA
6	<input type="checkbox"/> TNS ENERGO YAROSAVL PJSC	100177745	RU	Active	C	4	0	No		TNS ENER
7	<input type="checkbox"/> (A)ROAD INC	100027747	US	Inactive	C	0	2	No		AROAD
8	<input type="checkbox"/> @UK	100058067	GB	Inactive	C	0	0	No		AT UK
9	<input type="checkbox"/> 0.1% GASOIL BAR FOB RDAM VS. BRENT	100112115	US	Inactive	C	0	0	No		01 GASO
10	<input type="checkbox"/> 0.1% GASOIL BRG FOB RDAM BRG/BR 1L	100144839	GB	Inactive	C	0	0	No		01 GASO
11	<input type="checkbox"/> 0.1% GASOIL CARG CIF MED VS GASOIL	100112114	US	Inactive	C	0	0	No		01 GASO
12	<input type="checkbox"/> 0.1% GASOIL CARG CIF NWE VS BRENT	100112116	US	Inactive	C	0	1	No		01 GASO
13	<input type="checkbox"/> 0.1% GASOIL CIF MED CRG/GASOIL 1L S	100144843	GB	Inactive	C	0	0	No		01 GASO
14	<input type="checkbox"/> 0.1% GASOIL CIF MED SWAP	100127398	US	Inactive	C	0	0	No		01 GASO
15	<input type="checkbox"/> 0.1% GASOIL CIF MED/L SUL GASOIL 1L	100137643	US	Active	C	36	2	No		01 GASO

Page 1 of 5035 | List Limit 50 | Total Count 251713 | 1 Row(s) Selected

List - Security										
Options Delete Name Change (Existing) Name Change (New Issuer) View Details Quick Edit Create OPOL Create OPOL Create CoR Create UoQ										
	SEDOL	SecurityDescription	ISIN	CFIcode	COR	OPOL	Status	Event	Conf	IssuerName
1	<input type="checkbox"/> 7156702	CHF5(REGD)	CH0012488190	ESVUFH	CH	XSWX	Tradeable	Name change	C	AEVIS VICTORIA SA
2	<input type="checkbox"/> B1L3Z10	CHF5(REGD)	CH0012488190	ESVUFH	CH	XBER	Tradeable	Multiple listing	C	AEVIS VICTORIA SA
3	<input type="checkbox"/> BKQ8Y80	CHF5(REGD)	CH0012488190	ESVUFH	CH	XLON	Tradeable	MIFID eligible	C	AEVIS VICTORIA SA
4	<input type="checkbox"/> BYYM2Q9	2.5% BDS 07/06/21 CHF5000	CH0325429162	DBFXFB	ZZ	XSWX	Tradeable	No event	C	AEVIS VICTORIA SA
5	<input type="checkbox"/> BBNBLX6	3.5% BDS 02/07/18 CHF5000	CH0214926096	DBFXFB	ZZ	XSWX	Tradeable	Name change	C	AEVIS VICTORIA SA
6	<input type="checkbox"/> BCT4Z89	3.5% BDS 02/07/2018 CHF5000	CH0215650703	DBFXFB	ZZ	XXXX	Tradeable	Name change	C	AEVIS VICTORIA SA
7	<input type="checkbox"/> B833YT8	4.25% BDS 03/08/16 CHF5000	CH0187896698	DBFXFB	ZZ	XSWX	Tradeable	Name change	C	AEVIS VICTORIA SA
8	<input type="checkbox"/> B8F2K06	4.25% BDS 03/08/16 CHF5000	CH0187896698	DBFXFB	ZZ	XBER	Tradeable	Multiple listing	C	AEVIS VICTORIA SA
9	<input type="checkbox"/> BMNQCV3	2.75% NTS 04/06/19 CHF5000	CH0240109592	DBFXFB	ZZ	XSWX	Tradeable	Name change	C	AEVIS VICTORIA SA
10	<input type="checkbox"/> BN7ZD21	2.75% NTS 04/06/19 CHF5000	CH0240109592	DBFXFB	ZZ	XBER	Tradeable	Multiple listing	C	AEVIS VICTORIA SA

SEDOL Masterfile Securities folder

Security level information is displayed within this folder here you can drilldown into a selected SEDOL to view Market level information.

Data-Layout

Note: If you click on the Issuer name within this folder it will reload the page. It will show the selected Issuer name and all of the SEDOLs issued under that Issuer name.

Options	SEDOL	SecurityDescription	ISIN	CFICode	COR	OPOL	Status	Event
<input checked="" type="checkbox"/>	B95H5C5	0.016 RFD 01/01/13	FR0011388305	EMVTFN	XX	XPAR	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B1KKG77	A DKK1 (RFD 01/07/2006)	DK0060055788	ESVUFN	DK	XCSE	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B0DR0X0	ABERTIS INFRA SA BONUS RIGHT A SHS	E50111845618		ZZ	XMAD	Inactive	Call paid
<input type="checkbox"/>	B06NNF8	AEGON CHOICE DIVIDEND RIGHT 2005	NL0000398683		ZZ	XAMS	Inactive	Ranks Pari Passu
<input type="checkbox"/>	7748079	'A'EUR4(RFD 1/1/04)	FR0010045153		ZZ	XPAR	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B7LR4X9	'A'NPV(NTERIM SHARES)	FI4000038112	ESVUFR	FI	XHEL	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B3DCB00	AUDO RFD 30/6/08	AU00000APHN4		AU	XASX	Inactive	Ranks Pari Passu

Page 1 of 295332 | List Limit 50 | Total Count 14766557 | 1 Row(s) Selected | Page Filter: [X]

Options	SEDOL	SecurityDescription	ISIN	CFICode	COR	OPOL	Status	Event
<input checked="" type="checkbox"/>	B95H5C5	0.016 RFD 01/01/13	FR0011388305	EMVTFN	XX	XPAR	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B1KKG77	A DKK1 (RFD 01/07/2006)	DK0060055788	ESVUFN	DK	XCSE	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B0DR0X0	ABERTIS INFRA SA BONUS RIGHT A SHS	E50111845618		ZZ	XMAD	Inactive	Call paid
<input type="checkbox"/>	B06NNF8	AEGON CHOICE DIVIDEND RIGHT 2005	NL0000398683		ZZ	XAMS	Inactive	Ranks Pari Passu
<input type="checkbox"/>	7748079	'A'EUR4(RFD 1/1/04)	FR0010045153		ZZ	XPAR	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B7LR4X9	'A'NPV(NTERIM SHARES)	FI4000038112	ESVUFR	FI	XHEL	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B3DCB00	AUDO RFD 30/6/08	AU00000APHN4		AU	XASX	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B4ZQ000	B NPV (ISSUE 2010)	SE0003331719		SE	XXXX	Tradeable	Name change
<input type="checkbox"/>	B4ZPXG4	B NPV(FFD 01/01/2010)	SE0003360791		SE	XNGM	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B3DLNC3	BHDO RFD			BH	XBAH	Inactive	Duplicate
<input type="checkbox"/>	B3DWRL3	BHDO RFD			BH	XBAH	Inactive	No adequate information
<input type="checkbox"/>	B06NNK3	BOSKALIS WESTMINSTER - RIGHT MAY05	NL0000398725		ZZ	XAMS	Inactive	No longer renounceable
<input type="checkbox"/>	B46GQD4	BRIK (EX-DIVD)	DK0060272292	EUOISN	DK	XCSE	Inactive	Ranks Pari Passu
<input type="checkbox"/>	B64TH92	BRLO RFD	BRLLPRR01OR2		BR	BVMF	Inactive	No adequate information
<input type="checkbox"/>	B1RZH02	'B'SHS INTERIM	GB00B1RZH023	ESXXXR	GB	XXXX	Inactive	Ranks Pari Passu

Page 1 of 304472 | List Limit 50 | Total Count 15223578 | 1 Row(s) Selected

Market | Security audit | Security log | Future Updates

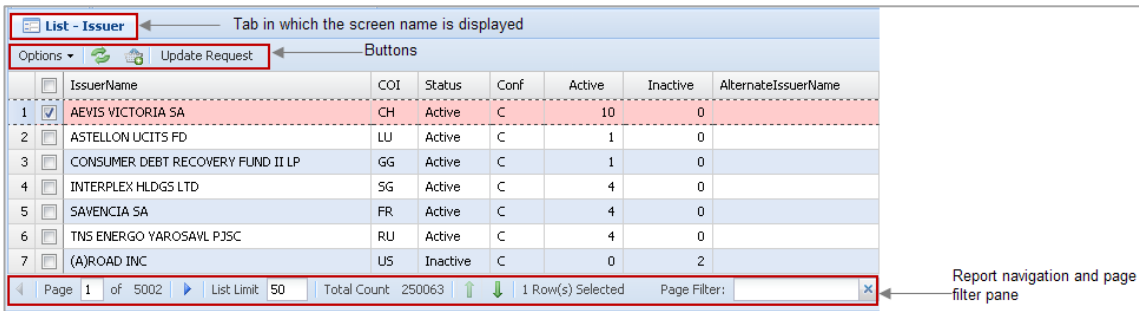
List - Market

Options	SEDOL	MIC	Status	TIDM	Exchange Symbol
<input type="checkbox"/>	B95H5C5	France - XPAR - EURONEXT PARIS	Active		

Data-Layout

Data Layout – General view

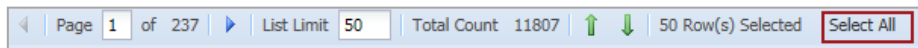
The page is divided into different regions. Each region within the page is highlighted and explained below:



The tab header at the top displays the name of the page view. Just below this there is a row of buttons, such as **Options**, **Refresh View** and **Active Basket** is displayed. Few additional buttons might also be displayed depending on the functionality of the page.

- **Option** – Click the **Options** drop-down arrow to view all the different options available. Using these options you can customise how the records appear in the right pane by [Adding/Removing Custom Filters](#) and exporting the current views in various formats, such as .csv, Excel, PDF, etc. If you want to undo the changes that you have applied to the data (such as sorting, applying filters or changing the position of the columns – refer [Customising Data](#)), click the **Reset View** options from the **Options** drop-down list. The Reset View option erases all the changes done to the data and retrieves it to the original state.
- **Refresh View** – Click the **Refresh View** icon to reflect the recent changes.
- **Active Basket** – Click the **Active Basket** icon to create a custom selection of records and display them in a separate tab. For more details, please refer the Active Basket topic.

The bottom of the report page displays the total count of pages and the page that is currently displayed. It also displays the number of records that are displayed per page along with the total count of records. If a record(s) is selected, the bottom of the screen displays the number of rows that are selected. If all the rows on a page are selected, then a **Select All** button will be displayed at the end of the screen. Click this button to select all the rows across all the pages.



Note: The **Select All** button will be available only when you select all the records on a page.

Data - SEDOL Drilldown

4.4 SEDOL Drilldown Overview

To view the details within a respective drilldown tab, click any tab whilst in the drilldown view.

The Issuers screen displays the following drilldown tabs:

- **Securities** – Displays the details of all the securities under the selected Issuer.
- **Active Securities** – Displays all the active securities under the selected Issuer.
- **Inactive Securities** – Displays all the inactive securities under the selected Issuer.

If you want to open a specific drilldown tab, from the Issuers section, right-click the respective row. A shortcut menu is displayed. Point to **Drilldown**, a list of all the available drilldown tabs is displayed. Click on the drilldown tab name whose details you want to view.

A further drilldown is available from within the Securities tab and to view this drilldown tab; right-click the SEDOL from the Security tab. A shortcut menu is displayed. Point to **Drilldown** and then click **Market**. The Market drilldown tab is displayed as shown in the below image:

Three level drilldown view from the SEDOL Masterfile Issuers screen

Issuer Level

IssuerName	COI	Status	Conf	Active	Inactive	AlternateIssuerName
1 AEVIS VICTORIA SA	CH	Active	C	10	0	
2 ASTELLON UCITS FD	LU	Active	C	1	0	
3 CONSUMER DEBT RECOVERY FUND II LP	GG	Active	C	1	0	

Security Level

SEDOL	SecurityDescription	ISIN	CFICode	COR	OPOL	Status	Event
1 7156702	CHF5(REGD)	CH0012488190	ESVUFR	CH	XSWX	Tradeable	Name change
2 81L3Z10	CHF5(REGD)	CH0012488190	ESVUFR	CH	XBER	Tradeable	Multiple listing

Market Level

SEDOL	MIC	Status	TIDM	Exchange Symbol
1 7156702	Switzerland - XSWX - SIX SWISS EXCHANGE	Active		
2 7156702	Great Britain - CHIX - BATS EUROPE - CXE ORDER BOOKS	Active		
3 7156702	Great Britain - BATE - BATS EUROPE - BXE ORDER BOOKS	Active		

Data - SEDOL Drilldown

4.5 SEDOL - Drilldown View

4.5.1 SEDOL Masterfile Issuers folder

1. On the Issuers screen, right-click on the required issuer row to access the shortcut menu:

IssueName	COI	Status	Conf	Active	Inactive	AlternateIssuerName
1 <input checked="" type="checkbox"/> AEVIS VICTORIA SA				10	0	
2 <input type="checkbox"/> ASTELLON UCITS FD				1	0	
3 <input type="checkbox"/> CONSUMER DEBT RECO				1	0	
4 <input type="checkbox"/> INTERPLEX HLDGS LTD				3	1	
5 <input type="checkbox"/> SAVENCIA SA	FR	Active	C	4	0	
6 <input type="checkbox"/> TNS ENERGO YAROSAVL PJSC	RU	Active	C	4	0	
7 <input type="checkbox"/> (A)ROAD INC	US	Inactive	C	0	2	
8 <input type="checkbox"/> @UK	GB	Inactive	C	0	0	

2. On the shortcut menu, click **Drilldown**. The drilldown section is displayed below the Report Section view. The first level drilldown view displays all Securities under the selected Issuer. Alongside the Securities will be **Active Securities** and **Inactive Securities** tabs.

IssueName	COI	Status	Conf	Active	Inactive
1 <input checked="" type="checkbox"/> AEVIS VICTORIA SA	CH	Active	C	10	0
2 <input type="checkbox"/> ASTELLON UCITS FD	LU	Active	C	1	0
3 <input type="checkbox"/> CONSUMER DEBT RECOVERY FUND II LP	GG	Active	C	1	0

SEDOL	SecurityDescription	ISIN	CFI Code	COR	OPOL
1 <input checked="" type="checkbox"/> 7156702	CHF5(REGD)	CH0012488190	ESVUFR	CH	XSWX
2 <input type="checkbox"/> B1L3210	CHF5(REGD)	CH0012488190	ESVUFR	CH	XBER
3 <input type="checkbox"/> BKJ8Y80	CHF5(REGD)	CH0012488190	ESVUFR	CH	XLON

Note: If more than one Drilldown tab exists, then by default the first tab will be displayed.

Data - SEDOL Drilldown

4.5.2 Drilldown - Securities folder view

The screenshot shows two tables. The top table, titled 'List - Security', displays a list of securities with columns: SEDOL, SecurityDescription, ISIN, CFICode, COR, and OPOL. The first row is selected and highlighted in red. The bottom table, titled 'List - Market', displays market details for the selected security with columns: SEDOL, MIC, Status, TIDM, and Exchange Symbol. The first row is also highlighted in red. Arrows on the right point to the 'Security Level' and 'Market Level' labels.

SEDOL	SecurityDescription	ISIN	CFICode	COR	OPOL
1 B95H5C5	0.016 RFD 01/01/13	FR0011388305	EMVTFN	XX	XPAR
2 B1KKGT7	A DKK1 (RFD 01/07/2006)	DK0060055788	ESVUFN	DK	XCSE
3 B0DR0X0	ABERTIS INFRA SA BONUS RIGHT A SHS	ES0111845618		ZZ	XMAD

SEDOL	MIC	Status	TIDM	Exchange Symbol
1 B95H5C5	France - XPAR - EURONEXT PARIS	Active		

The Securities screen displays the following drilldown:

- **Market** – Displays the market details (MIC, TIDM & Exchange Symbol) of the selected SEDOL.

4.5.3 Drilldown – Report View

The Report Data Drilldown view displays the related data in the panel below the Report section.

For ease of viewing, the following additional functions are available when you right-click the heading of the drilldown tabs:

- **Split Right** – Select this option to split the drilldown pane into two and show the tab side by side with another tab. To restore the view, right-click on the separate tabs and select Split Left.
- **Copy To Top** – Enables the user to move the drilldown tab up to the level alongside that of the original record view.

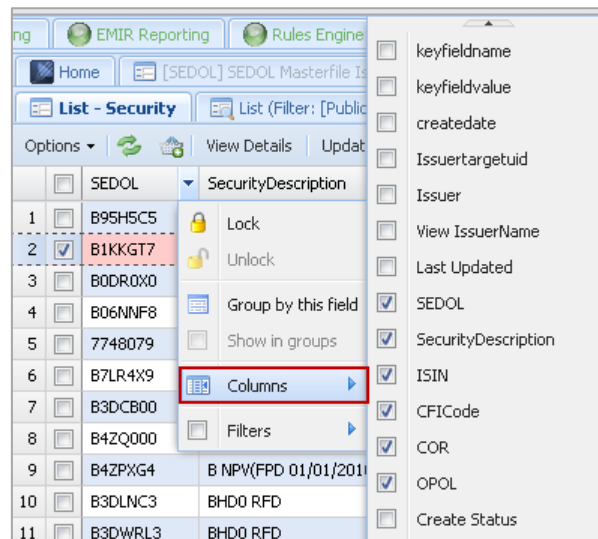
The screenshot shows the 'List - Security' tab selected. A context menu is open over the tab, showing two options: 'Split Right' and 'Copy To Top'. The table below shows the columns for the security list: SEDOL, SecurityDescription, ISIN, CFICode, COR, OPOL, Status, Event, Conf, and IssuerName.

SEDOL	SecurityDescription	ISIN	CFICode	COR	OPOL	Status	Event	Conf	IssuerName
1									

Data-Customising

4.6 Customising Data View

You can customise fields and the order they are displayed on the page including changing the position of the columns, hiding the columns, sorting by date or grouping of data.



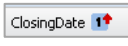
4.6.1 Move/Hide Columns

Click and drag the column that you want to move and drop it into position where you want to place it.

Hover over the column header towards the end, a drop-down arrow will appear to the right.

1. From the drop-down menu, point to **Columns**. This displays a list of all the available columns available to view in the Database. Columns that are currently visible will be checked. Check / Uncheck a column to hide or make visible the respective column where required.

4.6.2 Sort Data

Click the column header that you want to sort. A Sort  icon with an arrow will be displayed on the column header. The position of the arrow represents if the data is sorted in ascending or descending order. To undo a sort, click **Reset View** from the Options drop-down list.

4.6.3 Multiple Column Sort

To sort data based on multiple columns, hold the **CTRL** key and click the respective column headers. A sort icon with a number is displayed on the column headers where the sort is applied. The number on the sort icon indicates the sequence in which the sort was applied.

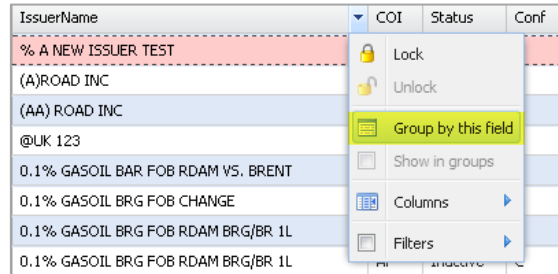
The screenshot shows the 'List - Security' interface with a table of securities. The 'SEDOL' and 'ISIN' columns have sort icons with numbers 1 and 2 respectively, indicating a multi-column sort.

	SEDOL	SecurityDescription	ISIN	CFICode
1	0000141	CASH OFFER(EMMET(R&J))	QQ0000001412	
2	0000419	ORD 2.5P(LINKED)	QQ0000004192	
3	0000442	ORD 5P(LINKED)	QQ0000004424	
4	0001144	GROWTH & RECOVERY INC	GB0000011444	EUXXR
5	0001199	AA FUND	GB0000011998	EUXXR

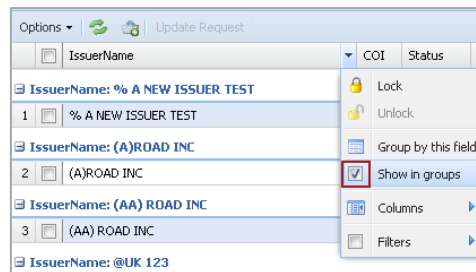
Data-Customising

4.6.4 Group By Columns

To group data based on a column header, hover over the column header you want to group by and click the drop-down arrow to the right. Select **Group by this field** option. To undo grouping, uncheck **Show in Groups**.



Apply Group By Field filter



Remove Group by Field filter

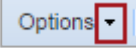
Note: All customised data settings are saved upon exit. The last view is retained until modified (i.e. sorting of data, hiding the columns, and Grouping data by columns).

Data-Filtering

4.7 Add Custom Filter View

The Add Filter View option creates a separate tab containing the filtered data. The tab is saved and will remain available to you even when you log off and log on again.

4.7.1 Add Filter View

1. Click the  drop-down menu, and from the drop-down options, click the **Add Filter View**. The **Filter View** screen is displayed.
2. Type Filter Name.
3. Choose the field that you wish to filter by select the **Operator** (Equal, Greater than, etc.) and select the value from the drop-down list.
4. If you wish to link multiple filters, select **AND** or **OR** from the Logical Operator drop-down list, and then click the **Add Filter Row**. This displays a blank row to link.
5. Click the **Filter** button to apply the filter. The filter will be applied successfully and all the SEDOLs that match the filter condition will be displayed in a new tab. The default view will also be displayed next to the filter view.

Note: *UnaVista saves your applied filter settings, so the next time you log on to your system the same filter(s) will be applied.*

4.7.2 Remove Filter View

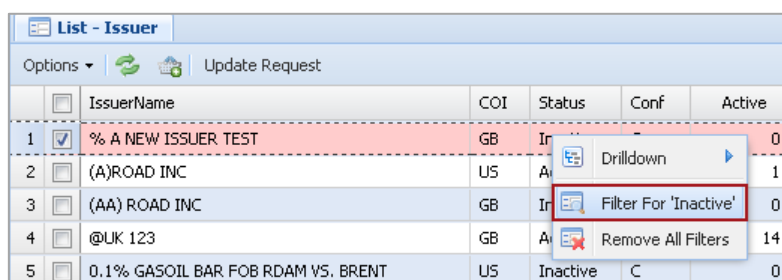
To remove the applied filtered view, from the Options drop-down list, click the **Remove Filter View**. To remove all the filters applied to the page, click the **Remove All Filter Views**. You can also filter records based on fields and columns, for more details please refer the [Field/Column Filter](#) topic.

4.7.3 Field/Column Filter

You can also filter records at field and column level.

Field Filter

1. To filter by a specific field value, on the report right-click the field value you want to filter by. A shortcut menu is displayed.
2. From the shortcut menu, click the **Filter For** option. The record(s) that match the field condition will be displayed.

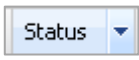


	IssuerName	COI	Status	Conf	Active
1	% A NEW ISSUER TEST	GB	In		0
2	(A)ROAD INC	U5	Ac		1
3	(AA) ROAD INC	GB	In		0
4	@UK 123	GB	Ac		14
5	0.1% GASOIL BAR FOB RDAM VS. BRENT	U5	Inactive	C	0

Column Filter

The Column filter allows you to filter the records by the data strings or specific column values.

To access the column filter

1. Hover the mouse over the column header, a drop-down arrow will appear next to the column name.
2. Click the drop-down arrow  a menu with different options is displayed.

Data-Filtering

- From the drop-down menu, point to **Filters** and then click the appropriate value from the drop-down list or type characters in the data string fields.
- To search a record where the selected column is blank, select the **Blank** check box.
- To search non blank fields in the column, select the **Not Blank** check box.

Note: The column header text to which the filter is applied will always be displayed in a Red font Status

You can also search records using the Search functionality available within the Navigation Settings pane. For more details, please refer the Search SEDOL Records topic in this user guide.

4.7.4 Column Filter – Different Options

The Column Filter enables you to filter record records within the columns based on the following filter options:

- Equals (=)** – Displays record(s) that matches *exactly* the string entered in this field (this includes the spaces too)
- Starts With (a...)** – Displays record(s) that *starts with* string entered in this field
- Ends With (...a)** – Displays record(s) that *ends with* the string entered in this field
- Contains (...a...)** – Displays record(s) that *contains* the string entered in this field
- List Filter (☰)** – Enables you to search for multiple strings at a time. For example, a list of SEDOLs or a list of ISINs.

To search records using the Multiple List filter

- Enter the strings that you want to search, each on a separate row.
- Select the **Filters** check box. All available records that match the strings will be displayed as shown below:

The screenshot shows the 'List - Security' interface with a 'List Filter: [Public] LS' applied. The filter is set to 'List Filter' with a list of SEDOLs: B7LR4X9, B06NNK3, and B64TH92. The filtered records are highlighted in yellow.

Options	View Details	Update Request			
<input type="checkbox"/> SEDOL	SecurityDescription	ISIN			
1	B7LR4X9	'ANPW(INTERIM SHARES)	F14000038112	ESVUFR	FI
2	B06NNK3	BOSKALIS WESTMINSTER - RIGHT MAY05	NL0000398725		ZZ
3	B64TH92	BRLO RFD	BRLLPRR01OR2		BR

Data – Viewing & Exporting

5.0 Data Viewing and Exporting

5.1 View SEDOL Details in HTML

You can view the issuer/security and market details of a selected security in an easy-to-read HTML format.

1. In the folders pane, click the number next to SEDOL Masterfile Securities folder. All the records will display to the right pane.
2. In the right pane, select the record. View Details and Update Request buttons located at the top of the screen are enabled.
3. Click **View Details**. A View Details HTML screen will pop up in a new window with details of the selected record.

You can print or export this page as a PDF by clicking the Print or Export button respectively.

List - Security		List (Filter: [Public] LS)					
Options		View Details	Update Request				
	SEDOL	SecurityDescription	ISIN	CFI Code	COR	OPOL	Status
1	<input checked="" type="checkbox"/> B95H5C5	0.016 RFD 01/01/13	FR0011388305	EMVTFN	XX	XPAR	Inactive
2	<input type="checkbox"/> B1KKGT7	A DKK1 (RFD 01/07/2006)	DK0060055788	ESVUFN	DK	XCSE	Inactive
3	<input type="checkbox"/> B0DR0X0	ABERTIS INFRA 5A BONUS RIGHT A 5H5	E50111845618		ZZ	XMAD	Inactive
4	<input type="checkbox"/> B06NNF8	AEGON CHOICE DIVIDEND RIGHT 2005	NL0000398683		ZZ	XAMS	Inactive
5	<input type="checkbox"/> 7748079	'A'EUR4(RFD 1/1/04)	FR0010045153		ZZ	XPAR	Inactive

View Detail

[Print](#)
[Export As PDF](#)


London
Stock Exchange

Issuer Name: 0.1% GASOIL BRG FOB CHANGE
Country Of Incorporation: United States of America - US
Issuer Status: Inactive
Confirmation Status: Confirmed



SEDOL: Z9GJ4K1
OPOL: Argentina - XMTB - MERCADO A TERMINO DE BUENOS AIRES
Security Confirmation: Confirmed
Status: Inactive
Security Event: Ranks Pari Passu
ISIN: FR0011388305
CFI Code: EMVTFN
Security Form: Unknown
Country Of Register: Unknown - XX
Long Description: 0.016 RFD 01/01/13
Short Description: 01 GASORFD13
Unit Of Quotation: US, Dollar - USD
Currency:
Security Type: Ranking for Dividend

MIC: Argentina - XMTB - MERCADO A TERMINO DE BUENOS AIRES

Data – Viewing & Exporting

5.2 Export Issuer Details

1. From the Issuers screen, filter the records based on the Country of Incorporation (COI) and Status. The filtered records will be displayed as shown below:

List - Issuer									
Options   Update Request								Create Issuer and SEDOL	
	<input type="checkbox"/>	IssuerName	COI	Status	Conf	Active	Inactive	AlternateIssuerName	FundManagerName
7	<input type="checkbox"/>	10 YR USD SWAPNOTE FUTURE	GB	Active	C	2	0		
8	<input type="checkbox"/>	180CST SING OIL/3.5% RD FOB BRG OIL	GB	Active	C	94	2		
9	<input checked="" type="checkbox"/>	1PM PLC	GB	Active	C	5	5		
10	<input type="checkbox"/>	1SPATIAL PLC	GB	Active	C	2	0		
11	<input type="checkbox"/>	1ST CREDIT HOLDINGS LTD	GB	Active	C	1	0		
12	<input type="checkbox"/>	1YEAR MID-CURVE ON 3MTH EUR(EURIBR)	GB	Active	C	791	228		
13	<input type="checkbox"/>	2 YEAR EURO SWAPNOTE	GB	Active	C	140	164		
14	<input type="checkbox"/>	2 YEAR USD SWAPNOTE FUTURE	GB	Active	C	2	0		
15	<input checked="" type="checkbox"/>	215T CENTURY TECHNOLOGY PLC	GB	Active	C	1	1		
16	<input type="checkbox"/>	2E2 GROUP	GB	Active	C	1	0		
17	<input type="checkbox"/>	2IL ORTHOPAEDICS LTD	GB	Active	C	1	0		

2. From the Issuer screen, select the respective issuer row whose details you want to export. In the above image, the 1PM PLC and 2E2 Group Issuer are selected.
3. Click the **Options** drop-down to the left at the top of the screen, click **Export Current View As Excel 2003 (.xls)** or **Export Default View As Excel 2003 (.xls)**. The exported excel sheet will download to the users default location and will also appear at the bottom of the screen when the user will then be able to can open natively.

5.3 Export Security Details

1. From the Issuer level, right-click the respective issuer row for the security details you want to view. A shortcut menu is displayed.
2. On the shortcut menu, click on **Drilldown**. The securities of the selected Issuer are displayed in the drilldown tab.
3. From the drilldown tab; click the Options drop-down and click either Export Current View As Excel 2003 (.xls) or Export Default View As Excel 2003 (.xls). The exported excel sheet will download to the users default location and also appear at the bottom of the screen when the user will then be able to open the file natively.

Data – Viewing & Exporting

List - Issuer

Options ▾ Update Request Create Issuer and SEDOL

<input type="checkbox"/>	IssuerName	COI	Status	Conf	Active	Inactive	AlternateIssuerName
8	180CST SING OIL/3.5% RD FOB BRG OIL	GB	Active	C	94	2	
9	1PM PLC	GB	Active	C	5	5	
10	1SPATIAL PLC	GB	Active	C	2	0	

Page 1 of 114 | List Limit 50 | Total Count 5653 | 1 Row(s) Selected

Securities | Active Securities | Inactive Securities

List - Security

Options ▾ View Details | Update Request | Create OPOL

<input type="checkbox"/>	SEDOL	SecurityDescription	ISIN	CFIcode	COR	OPOL	Status
1	BQXXGL1	NEW ORD GBP0.1 (EXCESS)	GB00BQXXGL18	ESVUFR	GB	XXXX	Inactive
2	BZ03B99	NEW ORD GBP0.1 (EXCESS)	GB00BZ03B999	ESVUFR	GB	XXXX	Tradeable
3	BQY78T3	NEW ORD GBP0.1 (LAPSED)	QQ00BQY78T35	ESVUFR	GB	XXXX	Inactive
4	BYVF5G2	NEW ORD GBP0.1 (LAPSED)	QQ00BYVF5G22	ESVUFR	GB	XXXX	Tradeable
5	BQXXGK0	NEW ORD GBP0.1 (SUB SHS CLAIMS PURPS)	GB00BQXXGK01	ESVUFR	GB	XXXX	Inactive
6	BZ03B77	NEW ORD GBP0.1 (SUB SHS CLAIMS PURPS)	GB00BZ03B775	ESVUFR	GB	XXXX	Tradeable
7	B194YY1	ORD GBP0.0006818	GB00B194YY14	ESVUFR	GB	XLON	Inactive
8	B1B1SW6	ORD GBP0.0006818	GB00B194YY14	ESVUFR	GB	XBER	Inactive
9	BCDBXK4	ORD GBP0.1	GB00BCDBXK43	ESVUFR	GB	XLON	Tradeable
10	BD3C5B9	ORD GBP0.1	GB00BCDBXK43	ESVUFR	GB	XBER	Tradeable

To view only the details of the selected Issuer, from the drilldown tab, click the hyperlinked IssuerName. This will open a filtered view called the [SEDOL] Issuer (Filtered) as shown below:

Home | [SEDOL] SEDOL Masterfile Issuers

List - Issuer

Options ▾ Update Request

<input type="checkbox"/>	IssuerName	COI	Status	Conf	Active	Inactive	AlternateIssuerName	FundManagerName	Ind Classification
8	180CST SING OIL/3.5% RD FOB BRG OIL	GB	Active	C	94	2			
9	1PM PLC	GB	Active	C	5	5			
10	1SPATIAL PLC	GB	Active	C	2	0			2000 Industrials

Page 1 of 114 | List Limit 50 | Total Count 5653 | 1 Row(s) Selected

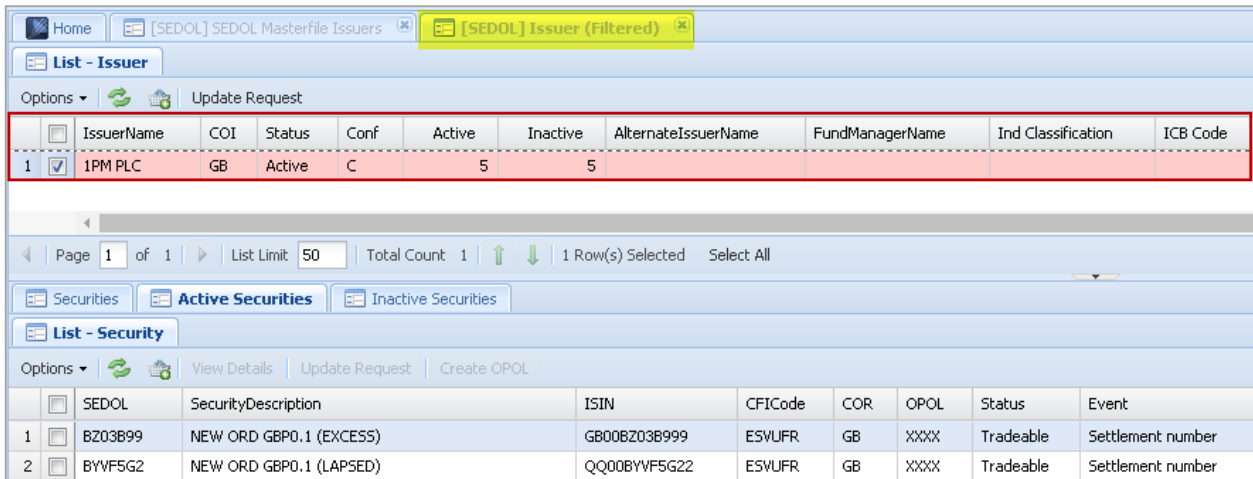
Securities | Active Securities | Inactive Securities

List - Security

Options ▾ View Details | Update Request | Create OPOL

<input type="checkbox"/>	SEDOL	SecurityDescription	ISIN	CFIcode	COR	OPOL	Status	Event	Conf	IssuerName	ExternalComment
1	BQXXGL1	NEW ORD GBP0.1 (EXCESS)	GB00BQXXGL...	ESVUFR	GB	XXXX	Inactive	Spare code	C	1PM PLC	
2	BZ03B99	NEW ORD GBP0.1 (EXCESS)	GB00BZ03B999	ESVUFR	GB	XXXX	Tradeable	Settlement number	C	1PM PLC	
3	BQY78T3	NEW ORD GBP0.1 (LAPSED)	QQ00BQY78T...	ESVUFR	GB	XXXX	Inactive	Spare code	C	1PM PLC	

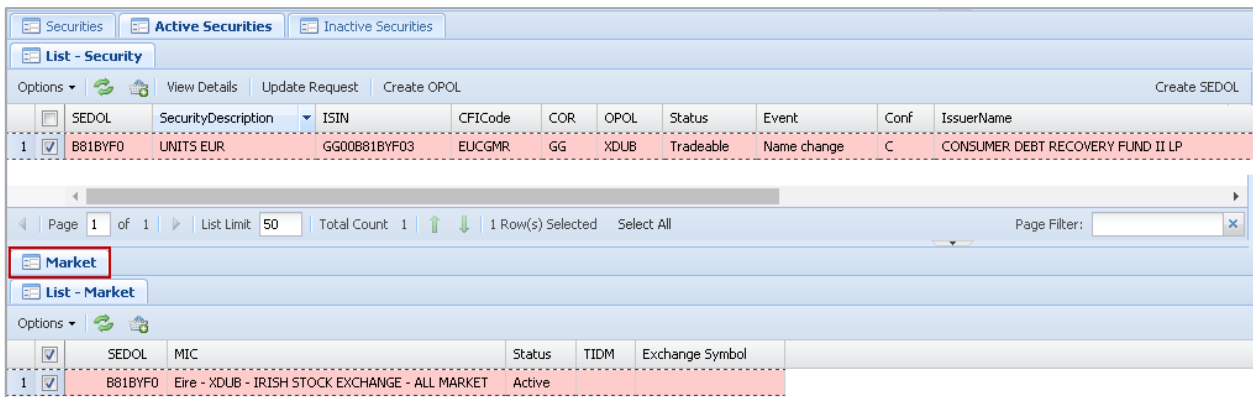
Data – Viewing & Exporting



	IssuerName	COI	Status	Conf	Active	Inactive	AlternateIssuerName	FundManagerName	Ind Classification	ICB Code
1	1PM PLC	GB	Active	C	5	5				

5.4 Export Market Details

1. From the Securities drilldown, right-click on the security whose market details you would want to view. The shortcut will be displayed.
2. Click **Drilldown**. The Market drilldown tab is displayed along with the market details of the selected security as shown below:



	SEDOL	SecurityDescription	ISIN	CFICode	COR	OPOL	Status	Event	Conf	IssuerName
1	B81BYF0	UNITS EUR	GG00B81BYF03	EUCGMR	GG	XDUB	Tradeable	Name change	C	CONSUMER DEBT RECOVERY FUND II LP

Please Note: Exports are limited to 5000 rows (of data) per entity per calendar month.

Data – Viewing & Exporting

List - Issuer

Options Update Request

	IssuerName	COI	Status	Conf	Active	Inactive	AlternateIssuerName
6	10 YR EURO SWAPNOTE OPTION	GB	Active	C	270	271	
7	10 YR USD SWAPNOTE FUTURE	GB	Active	C	2	0	
8	180CST SING OIL/3.5% RD FOB BRG OIL	GB	Active	C	94	2	
9	IPM PLC	GB	Active	C	5	5	
10	1SPATIAL PLC	GB	Active	C	2	0	

← Issuer level details

Page 1 of 114 | List Limit 50 | Total Count 5654 | 1 Row(s) Selected

Securities | Active Securities | Inactive Securities

List - Security

Options View Details | Update Request | Create OPOL

	SEDOL	SecurityDescription	ISIN	CFICode	COR	OPOL	Status
8	B1B15W6	ORD GBP0.0006818	GB00B194YY14	ESVUFR	GB	XBER	Inactive
9	BCDBXK4	ORD GBP0.1	GB00BCDBXK43	ESVUFR	GB	XLON	Tradeable
10	BD3C5B9	ORD GBP0.1	GB00BCDBXK43	ESVUFR	GB	XBER	Tradeable

← Securities level details

Page 1 of 1 | List Limit 50 | Total Count 10 | 2 Row(s) Selected

Market

List - Market

Options

	SEDOL	MIC	Status	TIDM	Exchange Symbol
1	BCDBXK4	Great Britain - XLON - LONDON STOCK EXCHANGE, THE	Active	OPM	
2	BD3C5B9	Germany - XBER - BORSE BERLIN	Active		

← Market level details

SEDOL Creation

6.0 SEDOL Creation

This section covers the following topics.

- [Create New Issuer and SEDOL](#)
- [Create SEDOL under an Existing User](#)
- [Create New OPOL under an Existing SEDOL](#)

Introduction

The SEDOL Masterfile database enables you to create new issuers; new securities under an existing Issuer; and new SEDOLs for an Official Place of Listing (OPOL) or trading venue.

Note: The *Create Issuer and SEDOL* and *Create SEDOL* buttons will be available only if you are assigned appropriate permissions.

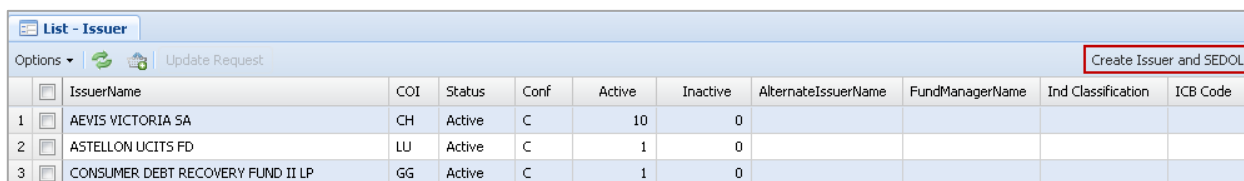
6.1 Create New Issuer with SEDOL

Before creating a new Issuer the user must search and ensure that the Issuer does not already exist in the database. Users should do this by entering the 1st word of the Issuer Name in full followed by couple of letters of the second word for distinction.

Note: Duplicate Issuers will be made inactive and may affect resultant SEDOLs if also found to be duplicated.

Once the user has made certain that a new Issuer is still required they can continue with the set up.

1. Go to **SEDOL Masterfile Issuers** folder and click the number besides the folder to view results
2. In the right pane, click **Create Issuer and SEDOL** button located at the top right corner of the screen. A new window “**Create** screen” will pop up.



The screenshot shows a web application window titled "List - Issuer". At the top right, there is a button labeled "Create Issuer and SEDOL" which is highlighted with a red rectangle. Below the button is a table with the following columns: IssuerName, COI, Status, Conf, Active, Inactive, AlternateIssuerName, FundManagerName, Ind Classification, and ICB Code. The table contains three rows of data:

	IssuerName	COI	Status	Conf	Active	Inactive	AlternateIssuerName	FundManagerName	Ind Classification	ICB Code
1	AEVIS VICTORIA SA	CH	Active	C	10	0				
2	ASTELLON UCITS FD	LU	Active	C	1	0				
3	CONSUMER DEBT RECOVERY FUND II LP	GG	Active	C	1	0				


SEDOL Creation

3. Populate all highlighted fields where indicated, such as **Security Sub Group**, **Security Description** and **ISIN** etc. Certain fields within the Create screen will become mandatory depending on the values entered in preceding fields. Click **Create**.

The screenshot shows a 'Create' form with the following sections and fields:

- Issuer Info:** Issuer Name, Country of Incorporation, Status, Issuer Confirmation.
- Security Info:** Create Security (Yes/No).
- Security Details:** Security Sub Group, Strike Price, Par Value, Coupon Interest Rate, Underlying Issuer, Restrictions, Unit Of Quotation, MinDenom3, MinDenom4, Security Description (with a gear icon), Security Type, Strike Price, Par Value, Closing Date, Activation Date, Underlying ISIN, Unit Of Quotation Currency, MinDenom1, MinDenom2.
- Security Identifiers:** ISIN, Local Code, Security Form, Country Of Register.
- Security Status:** Confirmation, OPOL.

At the bottom of the form, there are 'Create' and 'Cancel' buttons.

Note: Where you see  icon, click on this to auto generate the description.

Once a new issuer and SEDOL are created, additional SEDOLs can be created by clicking the **Create SEDOL** button located in the drilldown tab in the security view. See **Create SEDOL under an Existing Issuer**.

Create SEDOL – SEDOL Under an Existing Issuer

6.2 Create SEDOL under an Existing Issuer

The SEDOL Masterfile web portal enables you to create SEDOL under an existing Issuer.

Note: The Create SEDOL button will be available only if you are assigned appropriate permissions.

SEDOL Creation

Before creating a new SEDOL the user must be satisfied the security does not already exist in the database.

Note: Duplicate SEDOLs will be made inactive.

1. Click the number displayed next to the **SEDOL Masterfile Issuers** folder to access the folder.
2. In the right pane, right-click the Issuer record to access Drilldown options.


Options	IssuerName	COI	Status	Conf	Active	Inactive	AlternateIssuerName	FundManagerName	Ind Classification	ICB Code	External Comment
1	AE			C	10	0					N/C FROM AEVIS HOLDING SA 07/07/15
2	AS			C	1	0					
3	CC			C	1	0					N/C FROM INSIGHT CONSUMER DEBT ...
4	IN			C	3	1					N/C FRM AMTEK ENGINEERING LTD 26...
5	SAVENCIA SA	FR	Active	C	4	0					N/C TO BONGRAIN SA 23/06/15

3. Click **Drilldown**.
4. In Drilldown, click **Create SEDOL** located to the top right corner of the view. A new window “Create screen” will pop up.

Options	IssuerName	COI	Status	Conf	Active	Inactive	AlternateIssuerName	FundManagerName	Ind Classification
1	AEVIS VICTORIA SA	CH	Active	C	10	0			
2	ASTELLON UCITS FD	LU	Active	C	1	0			
3	CONSUMER DEBT RECOVERY FUND II LP	GG	Active	C	1	0			

Options	View Details	Update Request	Create OPOL	Create SEDOL						
1	7156702	CHF5(REGD)	CH0012488190	ESVUFR	CH	XSWX	Tradeable	Name change	C	AEVIS VICTORIA SA
2	B1L3Z10	CHF5(REGD)	CH0012488190	ESVUFR	CH	XBER	Tradeable	Multiple listing	C	AEVIS VICTORIA SA
3	BKJ8Y80	CHF5(REGD)	CH0012488190	ESVUFR	CH	XLON	Tradeable	MIFID eligible	C	AEVIS VICTORIA SA
4	BYYM2Q9	2.5% BDS 07/06/21 CHF5000	CH0325429162	DBFXXB	ZZ	XSWX	Tradeable	No event	C	AEVIS VICTORIA SA

4. Populate all highlighted fields where indicated, such as **Security Sub Group**, **Security Description** and **ISIN** etc. Certain fields within the Create screen will become mandatory depending on the values entered in preceding fields. Click **Create**.

Note: Where you see  icon, click on this to auto generate the description.

Once a SEDOL has been created for an Issuer, you can then create an additional OPOL for the existing security if required.

SEDOL Creation

– Create New OPOL Under Existing Security

6.3 Create New OPOL under an Existing Security

As per SEDOL code allocation rules, one SEDOL is allocated per country for the official place of listing (OPOL) or in the absence of Listing, place of trade – also one per country).

If a SEDOL Code already exists in the database for a Security but the Exchange or Place of Trade does not, you can create an additional OPOL (Official Place of Listing).

Create New OPOL

1. Click the number displayed next to the **SEDOL Masterfile Issuers** folder to access the folder.
2. In the right pane, right-click the Issuer record to access Drilldown options. Click **Drilldown**.

The screenshot shows two windows. The top window, titled 'List - Issuer', displays a table of issuers with columns: IssuerName, COI, Status, Conf, Active, Inactive, AlternateIssuerName, FundManagerName, and Ind Classification. The first row is selected: 1 [x] AEVIS VICTORIA SA, CH, Active, C, 10, 0. The bottom window, titled 'List - Security', displays a table of securities with columns: SEDOL, SecurityDescription, ISIN, CFICode, COR, OPOL, Status, Event, Conf, and IssuerName. The first row is selected: 1 [x] 7156702, CHF5(REGD), CH0012488190, ESVUFR, CH, XSWX, Tradeable, Name change, C, AEVIS VICTORIA SA. A 'Create SEDOL' button is highlighted in a red box in the top right of the 'List - Security' window.

3. From the Drilldown view in the Securities tab select the SEDOL Code that requires a new OPOL.

View Details, Update Request and **Create OPOL** buttons will be displayed at the top of the Security view tab.

5. Click **Create OPOL** button. A new window “**Additional Field(s)**” will pop up.

The 'Additional Field(s)' dialog box has a title bar with a close button. It contains two sections: 'Insert' and 'OPOL:'. The 'OPOL:' section has a dropdown menu with a red border. Below it, the 'Unit of Quotation' section has a dropdown menu with 'Curr:' next to it. At the bottom, there are 'OK' and 'Cancel' buttons.

4. Select the Exchange or Place of Trade in the OPOL drop-down box for which you want to create a listing for the selected security.
5. Select the trading currency in the Unit of Quotation drop-down menu for the listing. Click **OK**.

If successful an OPOL will be created for the selected security code and a new SEDOL will be generated and display in the view.

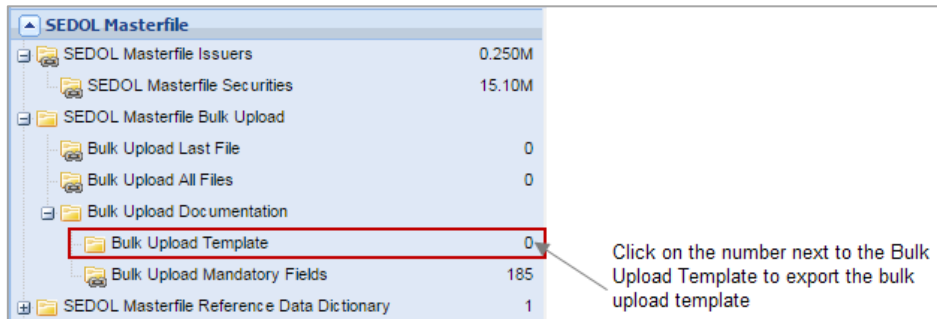
Bulk Upload

7.0 Bulk Upload

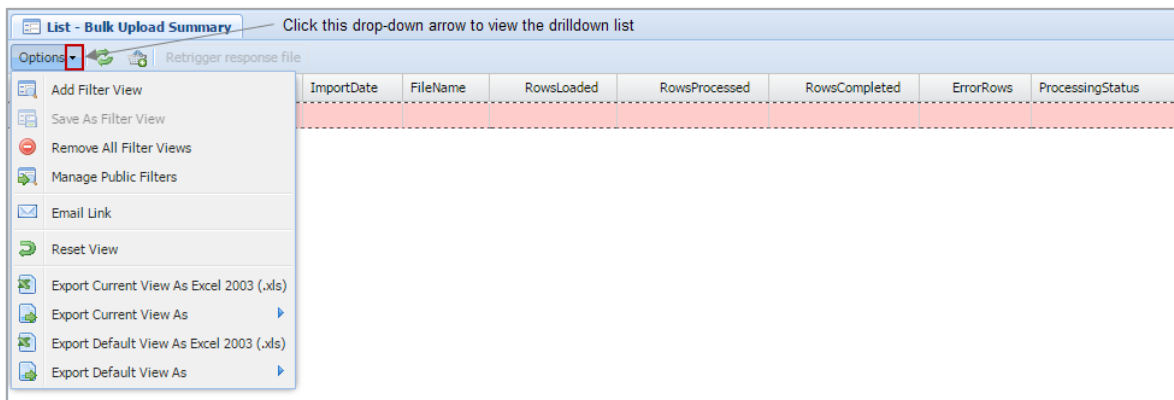
The Bulk Upload feature enables you to create multiple SEDOLs quickly and easily. Rather than creating the SEDOLs individually through the User Interface, you can manually upload a file into SEDOL Masterfile providing that all mandatory fields are populated to enable error free generation of a SEDOL code for the requested instruments.

7.1 Export Bulk Upload Template

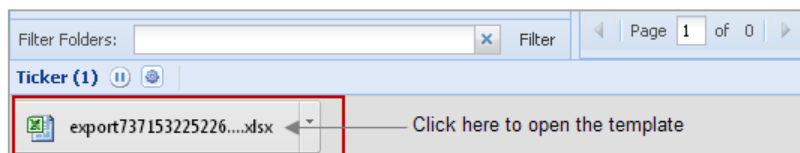
1. Expand the Bulk Upload Documentation section and then click the number displayed next to the **Bulk Upload Template** folder to access the folder.



2. From the right pane, click on the arrow to the right of **Options** then select **Export Default View As Excel 2003.xls**. The exported file will be displayed at the bottom of the screen.

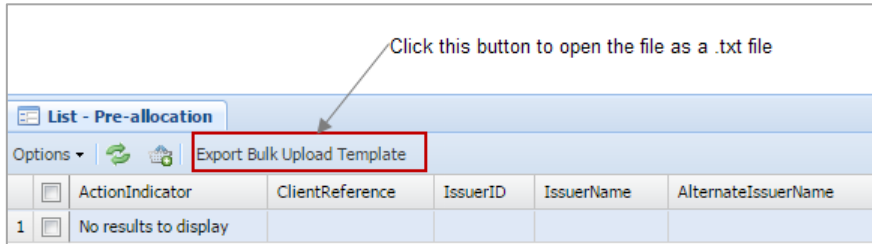


3. Click on the excel template that is displayed at the bottom of the screen. This will open the template in excel.

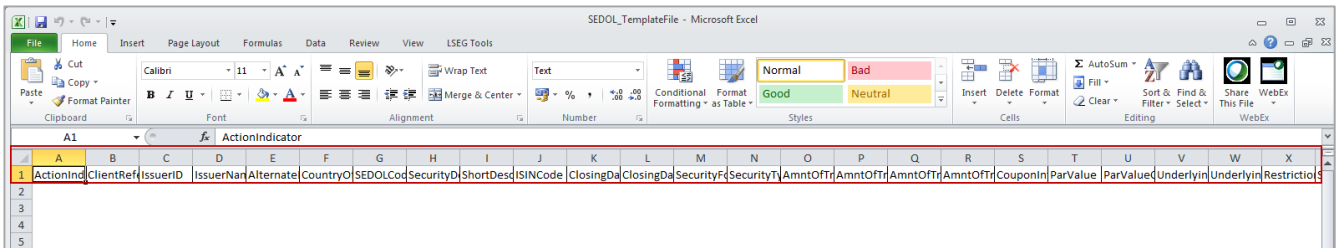


Bulk Upload

- Alternatively the template can be opened as a .txt file. To do this click the **Export Bulk Upload Template** button located at the top of the screen.



- Enter all the [security details](#) and then save the excel file as **Text (Tab delimited)** in your local folder.



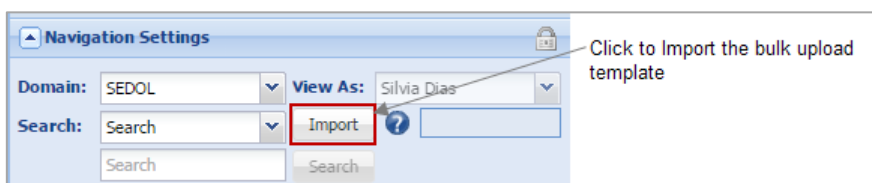
Details of which fields are mandatory / optional can be found in the [\[Bulk Upload – Sample Populated Templates\]](#) folder contained in the [Bulk Upload Documentation] folder within the interface.

Note: For SEDOL MIC Codes and Security Types and Description format, please refer to the [9.0 Appendix - Supporting Reference Data](#) section within this user guide.

- The template must be saved using the naming convention below:
'**BULKUPLOAD XX**' – where BULKUPLOAD is one word and XX is any other text that you want to append to file name for distinction.

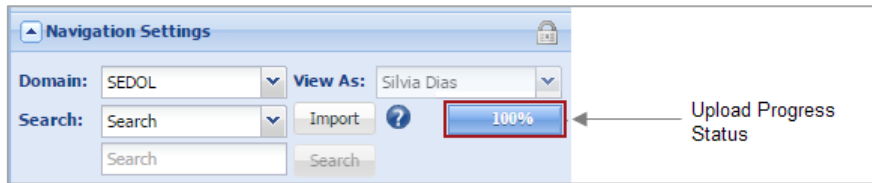
7.2 Import the Saved Bulk Template

- From the **Navigation Settings** section; click the **Import** button.



- Browse and select the Excel template that you have saved on your local machine.
- Click **Open**. You will notice that a progress bar is displayed just beside the Import button, representing the progress (in percentage) of the upload.

Bulk Upload



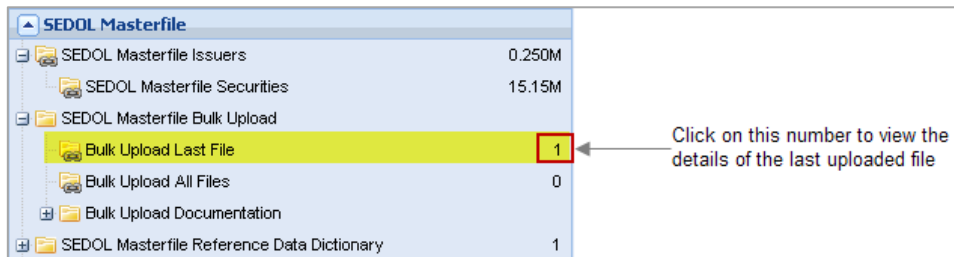
4. Once the file has been successfully uploaded into the system, the file will be available within the Bulk Upload Last File folder. The data will be validated and processed according to the workflow.

Bulk Upload – Sample Templates

7.3 Bulk Upload Last File

The Bulk Upload Last File folder displays the details of the file that the user has last uploaded.

To view details of the uploaded bulk, click the number displayed next to the **Bulk Upload Last File** folder. The details of the last uploaded file will be displayed in the right pane.



Email	BU_ID	ImportDate	FileName	RowsLoaded	RowsProcessed	RowsCompleted	ErrorRows	ProcessingStatus	Mins	Finish Time	Organisation
<input checked="" type="checkbox"/> tbhogal@lseg.com	202439	14 Jul 2016 12:03	BULKUPLOAD FTSE BONDS 120716 - 20.txt	21	20			Validating			SEDOL Masterfile

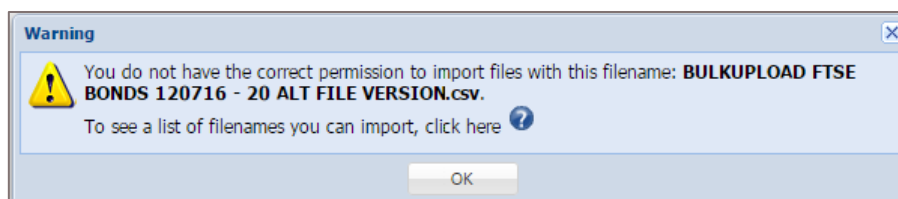
The RowsLoaded column will display the total number of rows loaded, this includes the Header row. The RowProcessed displays only the number of rows within the uploaded bulk file.

Email	BU_ID	ImportDate	FileName	RowsLoaded	RowsProcessed	RowsCompleted
<input checked="" type="checkbox"/> tbhogal@lseg.com	202439	14 Jul 2016 12:03	BULKUPLOAD FTSE BONDS 120716 - 20.txt	21	20	

This count includes the total number of rows within the uploaded file including the header rows

This column displays only the number of rows within the uploaded file

If there are any validation errors within the imported file then a validation message will be displayed on the screen as shown below:



The Error Rows column within the Bulk Upload Summary screen displays the number of error rows within the uploaded file as shown in the below image:

Bulk Upload – Sample Templates

	Email	BU_ID	ImportDate	FileName	RowsLoaded	RowsProcessed	RowsCompleted	ErrorRows	ProcessingStatus
1	<input checked="" type="checkbox"/> tbhoga@lseg.com	202439	14 Jul 2016 12:03	BULKUPLOAD FTSE BONDS 120716 - 20.txt	21	20	0	20	Processed

Displays the error rows within the uploaded file

If there are any validation errors, then a report of your bulk upload file will be sent to the registered email address as shown below:

Please find attached an error report for your bulk upload file.

Filename: BULKUPLOAD 140616 test.txt
Import date: Jun 14 2016 3:11PM
File ID: 197938

Rows uploaded : 2
Processed: 1
Header: 1
Completed: 0
Errors: 1

Please click [here](#) to login to UnaVista and view your bulk upload files.

Kind regards,

UnaVista Help

If there are no errors then an email will also be sent with the file attachment with the allocated SEDOLs.

The Bulk Upload Summary screen also displays drilldown tabs, which displays the contents of the file and in addition to error codes as shown in the below image:



	#Errors	ActionIndicator	ClientReference	IssuerID	IssuerName	AlternateIssuerName	CountryOfIncorporation	SEDOL
1	2	SEC			INDUSTRIAL & COM BK CHINA(SYDNEY)			
2	2	SEC			BARCLAYS BANK PLC			
3	1	SEC			CHINA(PEOPLES REP)			
4	1	SEC			CHINA(PEOPLES REP)			
5	1	SEC			LANDESBANK BERLIN AG			
6	1	SEC			ABBAY NATIONAL TREASURY SERVICES			

You can also view the error details of the selected error row by drilling down on the error code. This drilldown will display details such as the error reason, error field, error value, etc. like the below image:

Bulk Upload – Sample Templates


File Rows Re-upload Template (Internal) Re-upload Template

List - Bulk Upload Rows



Options ▾  

<input type="checkbox"/>	#Errors	ActionIndicator	ClientReference	IssuerID	IssuerName
1 <input checked="" type="checkbox"/>	2	SEC			INDUSTRIAL & COM BK CHNA(SYDNEY)
2 <input type="checkbox"/>	2	SEC			BARCLAYS BANK PLC
3 <input type="checkbox"/>	1	SEC			CHINA(PEOPLES REP)

Page 1 of 1 List Limit 50 Total Count 20 1 Row(s) Selected

Row Errors  Template

List - Bulk Upload Rows

Options ▾  


<input type="checkbox"/>	ErrorReason	ErrorField	errorvalue	ActionIndicator
1 <input type="checkbox"/>	Mandatory field missing	SecurityStatus_Integer		SEC
2 <input type="checkbox"/>	Not allowed field is populated	ClosingDate	Dec 5 2016 12:00AM	SEC

7.4 Bulk Upload All Files

The Bulk Upload All files display details of all the files uploaded by the user.

Home [SEDOL] Bulk Upload Last File [SEDOL] Bulk Upload All Files

List - Bulk Upload Summary

Options ▾  Retrigger response file

<input type="checkbox"/>	Email	BU_ID	ImportDate	FileName	RowsLoaded	RowsProcessed	RowsCompleted	ErrorRows	ProcessingStatus
1 <input checked="" type="checkbox"/>	tbhogal@lseg.com	202445	14 Jul 2016 12:30	BULKUPLOAD FTSE BONDS 120716 - 20 REVISED.txt	21	20	0	20	Processed
2 <input type="checkbox"/>	tbhogal@lseg.com	202443	14 Jul 2016 12:28	BULKUPLOAD FTSE BONDS 120716 - 20.txt	21	20	14	6	Processed
3 <input type="checkbox"/>	tbhogal@lseg.com	202439	14 Jul 2016 12:03	BULKUPLOAD FTSE BONDS 120716 - 20.txt	21	20	0	20	Processed
4 <input type="checkbox"/>	tbhogal@lseg.com	197938	14 Jun 2016 15:11	BULKUPLOAD 140616 test.txt	2	1		1	Processed
5 <input type="checkbox"/>	tbhogal@lseg.com	196760	06 Jun 2016 15:45	BULKUPLOAD OPOL BTEC US TRSY.txt	84	83	80	3	Processed
6 <input type="checkbox"/>	tbhogal@lseg.com	190706	21 Apr 2016 12:50	BULKUPLOAD NYX GAMING GROUP ISINs SEDOLs 210416.txt	9	8	8	0	Processed
7 <input type="checkbox"/>	tbhogal@lseg.com	190705	21 Apr 2016 12:41	BULKUPLOAD NYX GAMING GROUP ISINs SEDOLs 210416.txt	9	8	0	8	Processed
8 <input type="checkbox"/>	tbhogal@lseg.com	190703	21 Apr 2016 12:26	BULKUPLOAD NYX GAMING GROUP ISINs SEDOLs 210416.txt	9	8		8	Processed

Bulk Upload – Sample Templates

- 7.5 [Bulk Upload Example for Funds](#)
- 7.6 [Bulk Upload Example for Call WTS, PUT WTS and WTS to SUB for ORD](#)
- 7.7 [Bulk Upload for Notes ILN and ELN](#)
- 7.8 [Bulk Upload Example for PAR Value & NPV](#)
- 7.9 [Bulk Upload for Subscription Rights](#)
- 7.10 [Mandatory Fields for SEDOL creation](#)

[List of Bulk upload errors](#)

Additional Functionality

8.0 Update Requests

Any registered user can send requests using the web portal to notify us of any changes or to make against a SEDOL.

The request is then reviewed by the SEDOL Masterfile Operations team and if approved the SEDOL will be actioned accordingly.

To send an Update Request

1. Select the SEDOL you wish to update/query by using the Search function in the Navigation Settings pane.
2. The **Update Request** button will be enabled located at the top of the screen.

Note: You can update only one record at a time. If you select multiple records then this Update Request button will be disabled.

	SEDOL	SecurityDescription	ISIN	COR	OPDL	Status
1	B92QYJ5	DKK20 INTERIM SHARES 30/03/2013	DK0060452514	DK	XCSE	Tradeable
2	B9D92Q6	EUR6 RFD 31/03/13	FR0011413160	XX	XPAR	Tradeable

3. Click the **Update Request** button. The **Additional Field(s)** screen is displayed.

Additional Field(s)

User Input

Effective Date:

Request:

Upload File

File: Browse...

OK Cancel

4. Select the **Effective Date** from when you want the corrections/updates to be made.
Note: The Effective Date must be a date in the future.
5. Type the details of the update in the **Request** box. This can include web links.
6. If you have a file that you want to upload as an evidence of your update requirement, browse and select and attach the appropriate file.
7. Click **OK** to submit. You will be notified that your update request has been logged and received by the SEDOL Masterfile Operations team.

Note: The fields highlighted in red are mandatory fields and needs to be completed

Appendix – Supporting Reference Data

9.0 Appendix – Supporting Reference Data

9.1 [SEDOL MIC Codes](#)

9.2 [SEDOL Security Types and Description Format](#)

9.3 [SEDOL Spec Tech \(Spreadsheet\)](#)

9.4 [SEDOL Country Codes](#)

9.5 [SEDOL ID Linkage example](#)

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