



## ESMA UPDATES THE REPORTING INSTRUCTIONS FOR MiFIR TRANSACTION REPORTING

Madrid, 12 December 2018

ESMA has recently updated both reporting instructions and XML schemas for MiFIR Transaction Reporting, which have been published on its website. The new versions of the documents are available on the following webpage: <https://www.esma.europa.eu/policy-rules/mifid-ii-and-mifir/mifir-reporting-instructions>.

The direct links to the new versions of the documents are as follows:

- Reporting instructions:  
[https://www.esma.europa.eu/sites/default/files/library/esma65-8-2356\\_mifir\\_transaction\\_reporting\\_technical\\_reporting\\_instructions.pdf](https://www.esma.europa.eu/sites/default/files/library/esma65-8-2356_mifir_transaction_reporting_technical_reporting_instructions.pdf)
- Validation rules:  
[https://www.esma.europa.eu/sites/default/files/library/esma65-8-2594\\_annex\\_1\\_mifir\\_transaction\\_reporting\\_validation\\_rules.xlsx](https://www.esma.europa.eu/sites/default/files/library/esma65-8-2594_annex_1_mifir_transaction_reporting_validation_rules.xlsx)
- XML schemas:  
[https://www.esma.europa.eu/sites/default/files/library/esma65-8-2598\\_annex\\_2\\_mifir\\_transaction\\_reporting\\_iso20022\\_xml\\_schemas.zip](https://www.esma.europa.eu/sites/default/files/library/esma65-8-2598_annex_2_mifir_transaction_reporting_iso20022_xml_schemas.zip)

The above documents include annotations that relate to **a new version (v1.1.0) to be implemented on 18 February 2019**.

The old versions of the documents (that are currently used in production) remain available on ESMA's website.

Both versions of the message are also available on SWIFT MyStandards:

- New version, v1.1.0:  
[https://www2.swift.com/mystandards/#/mp/mx/\\_FVQhsIVNEeaQYvi6hIW\\_CQ](https://www2.swift.com/mystandards/#/mp/mx/_FVQhsIVNEeaQYvi6hIW_CQ)
- Old version, v1.0.3:  
[https://www2.swift.com/mystandards/#/mp/mx/\\_FVQhsIVNEeaQYvi6hIW\\_CQ/version/43](https://www2.swift.com/mystandards/#/mp/mx/_FVQhsIVNEeaQYvi6hIW_CQ/version/43)

Entities obliged to report, Approved Reporting Mechanisms (ARMs) and trading venues will have to adapt their systems in order to properly submit their transaction report files to CNMV accordingly from 18 February 2019 onwards.

The [Operational Guide for Transaction reporting under MiFIR](#) published on CNMV's website continues to be in force and does not change, since this Guide mainly refers to the operational file exchange between reporting parties and CNMV. The naming convention of exchanged files does not change either.

Changes included in the new version, v1.1.0, compared to the previous one mainly affect the XML schema names, the patterns of some XML elements, and some nuances regarding several validation rules. The XML schema feedback files include changes in some elements and fields.

In order to facilitate the task concerning the understanding of reporting instructions, regulation and other business issues, CNMV has made the email [ComunicacionOperaciones@cnmv.es](mailto:ComunicacionOperaciones@cnmv.es) available for these purposes.

Additionally, although technical changes included in the new version, v1.1.0, compared to the previous one, v1.0.3, are quite simple, CNMV has made available the email [TRMU@cnmv.es](mailto:TRMU@cnmv.es) which is mainly focused on IT doubts regarding the new XML schemas, and will provide the possibility to carry out on-demand testing of files through the FTP test environment, verifying not only connectivity issues but also naming convention and XML schema validation.

Finally, the Electronic Office helpdesk service email [sedecnmv@cnmv.es](mailto:sedecnmv@cnmv.es) may be used if the entity submits the information using the electronic procedures available on CNMV's extranet.

For any further information, please visit the MiFID II/MiFIR section on CNMV's website.