

## Usage Guideline

# **auth.084.001.02\_FCAUG\_SFTREJ\_1.0.0**

## SFTR- Outgoing Messages - V1.0

This document describes a usage guideline restricting the base message auth.084.001.02. You can also consult this [information online](#).

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# Message Functionality

## Collection Description

SFTR- Outgoing Messages - V1.0 ([link](#))

## Usage Guideline Description

auth.084.001.02\_FCAUG\_SFTREJ\_1.0.0 ([link](#))

The SecuritiesFinancingReportingTransactionStatusAdvice message is sent by the trade repository (TR) to the competent authority (CA) or made available to the report submitting entity and the reporting counterparty as well as the entity responsible for reporting, if applicable, identifying the transactions rejected and the reasons for a rejection.

## Outline

In the Collection SFTR- Outgoing Messages - V1.0, the message auth.084.001.02\_FCAUG\_SFTREJ\_1.0.0 is composed of a mandatory Business Application Header V01 (head.001.001.01) and a Document.

### Business Application Header V01 (head.001.001.01)

The Business Application Header V01 (head.001.001.01) is composed of 13 elements.

#### a - Character Set

Contains the character set of the text-based elements used in the Business Message.

#### b - From

The sending MessagingEndpoint that has created this Business Message for the receiving MessagingEndpoint that will process this Business Message.

Note the sending MessagingEndpoint might be different from the sending address potentially contained in the transport header (as defined in the transport layer).

#### c - To

The MessagingEndpoint designated by the sending MessagingEndpoint to be the recipient who will ultimately process this Business Message.

Note the receiving MessagingEndpoint might be different from the receiving address potentially contained in the transport header (as defined in the transport layer).

#### d - Business Message Identifier

Unambiguously identifies the Business Message to the MessagingEndpoint that has created the Business Message.

#### e - Message Definition Identifier

Contains the MessageIdentifier that defines the BusinessMessage.  
It must contain a MessageIdentifier published on the ISO 20022 website.

example camt.001.001.03.

**f - Business Service**

Specifies the business service agreed between the two MessagingEndpoints under which rules this Business Message is exchanged.

To be used when there is a choice of processing services or processing service levels.

Example: E&I.

**g - Creation Date**

Date and time when this Business Message (header) was created.

Note Times must be normalized, using the "Z" annotation.

**h - Copy Duplicate**

Indicates whether the message is a Copy, a Duplicate or a copy of a duplicate of a previously sent ISO 20022 Message.

**i - Possible Duplicate**

Flag indicating if the Business Message exchanged between the MessagingEndpoints is possibly a duplicate.

If the receiving MessagingEndpoint did not receive the original, then this Business Message should be processed as if it were the original.

If the receiving MessagingEndpoint did receive the original, then it should perform necessary actions to avoid processing this Business Message again.

This will guarantee business idempotent behaviour.

NOTE: this is named "PossResend" in FIX - this is an application level resend not a network level retransmission.

**j - Priority**

Relative indication of the processing precedence of the message over a (set of) Business Messages with assigned priorities.

**k - Signature**

Contains the digital signature of the Business Entity authorised to sign this Business Message.

**l - Related**

Specifies the Business Application Header of the Business Message to which this Business Message relates.

Can be used when replying to a query; can also be used when canceling or amending.

**m - CrossElementComplexRule : RelatedPresentWhenCopyDupl**

Related MUST contain the relevant BusinessMessageHeader elements of the BusinessMessage to which this BusinessMessage relates.

If CopyDuplicate is present, then Related MUST be present.

**Document - Securities Financing Reporting Transaction Status Advice V02 (auth.084.001.02)**

The Document - Securities Financing Reporting Transaction Status Advice V02 (auth.084.001.02) is composed of 2 elements.

**a - Transaction Report Status And Reason**

Provides the status and reason of the transaction report advice.

**b - Supplementary Data**

Additional information that can not be captured in the structured fields and/or any other specific block.

## About this document

### Legend

Abbreviation	Term	Description
X	Excluded	An optional field or element must not be populated.
I	Ignored	A field or element could be populated but is ignored by the receiver.
[x..y]	Multiplicity	A field or element multiplicity has changed.
FV	Fixed Value	A field or element must contain a given value.
T/C	Type / Code Change	A user-defined datatype replaces an existing simple datatype.
A	Element Added	A field or element has been added.

Header	Description
Index	Element reference
LvL	Element nesting in tree hierarchy
Name	Element name
XML Tag	Element XML tag
Mult	Element multiplicity
Type / Code	Element formatting
Rest	Restriction type
Additional details	Other restriction specifics

Type/Code Notation	Describes the Element	Examples
text{m,M}	minimum (m) and maximum (M) length	text{1,35}
text{L}	maximum (L) length, minimum length is 0	test{10}
m <= decimal <= M	minimum (m) and maximum (M) values	0.01 <= decimal <= 9999.99
fd = F, td = T	maximum fractional (F) and total (T) number of digits	fd = 2, td = 11
<<regular expression>>	regular expression pattern	[A-Z]{6,6}([A-Z0-9]{3,3}){0,1}

Index	Lv l	Name	XML Tag	Mult	Type / Code	Rest r	Additional details
	0	Full Message		[1..1]			
	1	Business Application Header V01 (head.001.001.01)	<AppHdr>	[1..1]			
	2	From	<Fr>	[1..1]	Choice		
	3	Organisation Identification	<OrgId>	[1..1]			
	4	Identification	<Id>	[0..1]	Choice		
	5	Organisation Identification	<OrgId>	[1..1]			
	6	Other	<Othr>	[0..*]			
	7	Identification	<Id>	[1..1]	text{1,35}		
	7	Scheme Name	<SchmeNm>	[0..1]	Choice		
	8	Code	<Cd>	[1..1]	text{1,4}		
	8	Proprietary	<Prtry>	[1..1]	text{1,35}		
	7	Issuer	<Issr>	[0..1]	text{1,35}		
	2	To	<To>	[1..1]	Choice		
	3	Organisation Identification	<OrgId>	[1..1]			
	4	Identification	<Id>	[0..1]	Choice		
	5	Organisation Identification	<OrgId>	[1..1]			
	6	Other	<Othr>	[0..*]			
	7	Identification	<Id>	[1..1]	text{1,35}		
	7	Scheme Name	<SchmeNm>	[0..1]	Choice		
	8	Code	<Cd>	[1..1]	text{1,4}		
	8	Proprietary	<Prtry>	[1..1]	text{1,35}		
	7	Issuer	<Issr>	[0..1]	text{1,35}		
	2	Business Message Identifier	<BizMsgIdr>	[1..1]	text{1,35}		
	2	Message Definition Identifier	<MsgDefIdr>	[1..1]	text{1,35}		
	2	Creation Date	<CreDt>	[1..1]	dateTime .*Z		
	2	Related	<Rltd>	[0..1]			
	3	From	<Fr>	[1..1]	Choice		
	4	Organisation Identification	<OrgId>	[1..1]			
	5	Identification	<Id>	[0..1]	Choice		
	6	Organisation Identification	<OrgId>	[1..1]			
	7	Other	<Othr>	[0..*]			
	8	Identification	<Id>	[1..1]	text{1,35}		

Index	Lv l	Name	XML Tag	Mult	Type / Code	Rest r	Additional details
	8	Scheme Name	<SchmeNm>	[0..1]	Choice		
	9	Code	<Cd>	[1..1]	text{1,4}		
	9	Proprietary	<Prtry>	[1..1]	text{1,35}		
	8	Issuer	<Issr>	[0..1]	text{1,35}		
	3	To	<To>	[1..1]	Choice		
	4	Organisation Identification	<OrgId>	[1..1]			
	5	Identification	<Id>	[0..1]	Choice		
	6	Organisation Identification	<OrgId>	[1..1]			
	7	Other	<Othr>	[0..*]			
	8	Identification	<Id>	[1..1]	text{1,35}		
	8	Scheme Name	<SchmeNm>	[0..1]	Choice		
	9	Code	<Cd>	[1..1]	text{1,4}		
	9	Proprietary	<Prtry>	[1..1]	text{1,35}		
	8	Issuer	<Issr>	[0..1]	text{1,35}		
	3	Business Message Identifier	<BizMsgIdr>	[1..1]	text{1,35}		
	3	Message Definition Identifier	<MsgDefIdr>	[1..1]	text{1,35}		
	3	Creation Date	<CreDt>	[1..1]	dateTime .*Z		
	1	Document		[1..1]			
	2	Securities Financing Reporting Transaction Status Advice V02 (auth.084.001.02)	<SctiesFincgRpt gTxStsAdv<				
	3	Transaction Report Status And Reason	<TxRptStsAndRs n>	[1..*]	Choice	[1..1]	
	4	Data Set Action	<DataSetActn>	[1..1]	text		Annotation: Usage  - Usage: Where no transaction was concluded, this field should be set so that a valid transaction data file can be submitted to FCA as per daily submission requirements.
	5	No Transaction			NOTX		
	4	Report	<Rpt>	[1..*]		[1..1]	
	5	Report Statistics	<RptSttstcs>	[1..*]		[1..1]	
	6	Total Number Of Reports	<TtlNbOfRpts>	[1..1]	text [0-9]{1,15}		



Index	Lv l	Name	XML Tag	Mult	Type / Code	Rest r	Additional details
	6	Accepted Total Number Of Reports	<TtlNbOfRptsAccptd>	[1..1]	text [0-9]{1,15}		
	6	Rejected Total Number Of Reports	<TtlNbOfRptsRjctd>	[1..1]	text [0-9]{1,15}		
	6	Number Of Reports Rejected Per Error	<NbOfRptsRjctdPerErr>	[0..*]			
	7	Detailed Number	<DtldNb>	[1..1]	text [0-9]{1,15}		
	7	Report Status	<RptSts>	[1..*]			
	8	Message Report Identification	<MsgRptId>	[1..1]	text{1,140}		
	8	Status	<Sts>	[1..1]	text		
	9	Accepted			ACPT		
	9	Accepted Technical Validation			ACTC		
	9	Partially Accepted			PART		
	9	Received			RCVD		
	9	Rejected			RJCT		
	9	Reminder			RMDR		
	9	Warning			WARN		
	9	Incorrect Filename			INCF		
	9	Corrupted File			CRPT		
	8	Detailed Validation Rule	<DtldVldtnRule>	[0..1]			
	9	Identification	<Id>	[1..1]	text{1,35}		
	9	Description	<Desc>	[0..1]	text{1,350}		
	9	Scheme Name	<SchmeNm>	[0..1]	Choice		
	10	Code	<Cd>	[1..1]	text{1,4}		
	10	Proprietary	<Prtry>	[1..1]	text{1,35}		
	9	Issuer	<Issr>	[0..1]	text{1,35}		
	5	Transaction Statistics	<TxSttscs>	[1..*]	Choice	[1..1]	
	6	Data Set Action	<DataSetActn>	[1..1]	text		
	7	No Transaction			NOTX		
	6	Detailed Statistics	<DtldSttscs>	[1..1]			

Index	Lv l	Name	XML Tag	Mult	Type / Code	Rest r	Additional details
	7	Total Number Of Transactions	<TtINbOfTxs>	[1..1]	text [0-9]{1,15}		
	7	Total Number Of Transactions Accepted	<TtINbOfTxsAccptd>	[1..1]	text [0-9]{1,15}		
	7	Total Number Of Transactions Rejected	<TtINbOfTxsRjctd>	[1..1]	text [0-9]{1,15}		
	7	Transactions Rejections Reason	<TxsRjctnsRsn>	[0..*]		[0..5 0000 0]	
	8	Transaction Identification	<TxId>	[1..1]	Choice		
	9	Transaction	<Tx>	[1..1]			
	10	Counterparty Reporting	<RptgCtrPty>	[1..1]	Choice		
	11	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		
	10	Counterparty Other	<OthrCtrPty>	[1..1]	Choice		
	11	Legal	<Lgl>	[1..1]	Choice		
	12	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		
	11	Natural	<Ntrl>	[1..1]			
	12	Identification	<Id>	[1..1]			
	13	Identification	<Id>	[1..1]	text{1,72}	T/C	Type Changed: text{1,50}
	10	Entity Responsible For Report	<NttyRspnsblForRpt>	[0..1]	Choice		
	11	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		
	10	Unique Trade Identifier	<UnqTradIdr>	[0..1]	text{1,52}		

Index	Lvl	Name	XML Tag	Mult	Type / Code	Rest r	Additional details
	10	Master Agreement	<MstrAgrmt>	[0..1]			
	11	Type	<Tp>	[1..1]	Choice		

Index	Lv l	Name	XML Tag	Mult	Type / Code	Rest r	Additional details
	12	Type	<Tp>	[1..1]	text{1,4}	T/C	<p>Type Changed:            One of the following code values must be used:            MRAA (MasterRepurchaseAgreement)            GMRA (GlobalMasterRepurchaseAgreement)            MSLA (MasterSecuritiesLendingAgreement)            GMSL (GlobalMasterSecuritiesLendingAgreement)            ISDA (InternationalSwapsAndDerivativesAssociation)            DERP            (DeutscherRahmenvertragFurWertpapierpensionsges            chafte)            CNBR (ChinaBondRepurchaseMasterAgreement)            KRRRA            (KoreaFinancialInvestmentAssociationStandardRepur            chaseAgreement)            CARA            (InvestmentIndustryRegulatoryOrganizationOfCanada            Repurchase)            FRFB            (ConventionCadreRelativeAuxOperationsDePensions            Livrees)            CHRA (SwissMasterRepurchaseAgreement)            DEMA (GermanMasterAgreement)            JPBR            (JapaneseMasterAgreementOnTheTransactionWithRe            purchaseAgreementOfTheBonds)            ESRA            (ContratoMarcoDeCompraventaYReportoDeValores)            OSLA (OverseasSecuritiesLendingAgreement)            MEFI            (MasterEquityAndFixedInterestStockLendingAgreeme            nt)            GESL (GiltEdgedStockLendingAgreement)            KRSL (KoreanSecuritiesLendingAgreement)            DERD            (DeutscherRahmenvertragFurWertpapierdarlehen)            AUSL            (AustralianMastersSecuritiesLendingAgreement)            JPBL            (JapaneseMasterAgreementOnLendingTransactionOf            Bonds)            JPSL            (JapaneseMasterAgreementOnTheBorrowingAndLend            ingTransactionsOfShareCertificates)            BIAG (BilateralAgreement)            CSDA (CSD BilateralAgreement )            OTHR (Other)</p>

Index	Lv l	Name	XML Tag	Mult	Type / Code	Rest r	Additional details
							OTHR (Other)
	13	Master Repurchase Agreement			MRAA		
	13	Global Master Repurchase Agreement			GMRA		
	13	Master Securities Lending Agreement			MSLA		
	13	Global Master Securities Lending Agreement			GMSL		
	13	International Swaps And Derivatives Association			ISDA		
	13	Deutscher Rahmenvertrag Fur Wertpapierpensionsgeschafte			DERP		
	13	Bond Repurchase Master Agreement China			CNBR		
	13	Financial Investment Association Standard Repurchase Agreement Korea			KRRA		
	13	Investment Industry Regulatory Organization Of Canada Repurchase			CARA		
	13	Convention Cadre Relative Aux Operations De Pensions Livrees			FRFB		
	13	Master Repurchase Agreement Swiss			CHRA		
	13	German Master Agreement			DEMA		
	13	Japanese Master Agreement On The Transaction With Repurchase Agreement Of The Bonds			JPBR		
	13	Contrato Marco De Compraventa Y Reporto De Valores			ESRA		
	13	Overseas Securities Lending Agreement			OSLA		

Index	Lv l	Name	XML Tag	Mult	Type / Code	Rest r	Additional details
	13	Master Equity And Fixed Interest Stock Lending Agreement			MEFI		
	13	Gilt Edged Stock Lending Agreement			GESL		
	13	Korean Securities Lending Agreement			KRSL		
	13	Deutscher Rahmenvertrag Fur Wertpapierdarlehen			DERD		
	13	Australian Masters Securities Lending Agreement			AUSL		
	13	Japanese Master Agreement On Lending Transaction Of Bonds			JPBL		
	13	Japanese Master Agreement On The Borrowing And Lending Transactions Of Share Certificates			JPSL		
	13	Bilateral Agreement			BIAG		
	13	CSD Bilateral Agreement			CSDA		
	13	Other			OTHR		
	11	Version	<Vrsn>	[0..1]	text{1,50}	T/C	Type Changed: 1900 <= gYear <= 2099
	11	Other Master Agreement Details	<OthrMstrAgrmt Dtls>	[0..1]	text{1,350}	T/C	Type Changed: text{1,50}
	10	Agent Lender	<AgtLndr>	[0..1]	Choice		
	11	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		
	10	Triparty Agent	<TrptyAgt>	[0..1]	Choice		
	11	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		
	9	Margin Reporting	<MrgnRptg>	[1..1]			

Index	Lv l	Name	XML Tag	Mult	Type / Code	Rest r	Additional details
	10	Counterparty Reporting	<RptgCtrPty>	[1..1]	Choice		
	11	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		
	10	Counterparty Other	<OthrCtrPty>	[1..1]	Choice		
	11	Legal	<Lgl>	[1..1]	Choice		
	12	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		
	11	Natural	<Ntrl>	[1..1]			
	12	Identification	<Id>	[1..1]			
	13	Identification	<Id>	[1..1]	text{1,72}	T/C	Type Changed: text{1,50}
	10	Entity Responsible For Report	<NttyRspnsblForRpt>	[0..1]	Choice		
	11	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		
	10	Collateral Portfolio Identification	<CollPrtflId>	[0..1]	text{1,52}		
	9	Collateral Reuse	<CollReuse>	[1..1]			
	10	Counterparty Reporting	<RptgCtrPty>	[1..1]	Choice		
	11	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		
	10	Submitting Entity Report	<RptSubmitgNtty>	[1..1]	Choice		
	11	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		

Index	Lv l	Name	XML Tag	Mult	Type / Code	Rest r	Additional details
	10	Entity Responsible For Report	<NttyRspnsblFor Rpt>	[0..1]	Choice		
	11	LEI	<LEI>	[1..1]	text [A-Z0-9]{18,18}[0-9]{2,2}		
	8	Status	<Sts>	[1..1]	text		
	9	Accepted			ACPT		
	9	Accepted			ACTC		
	9	Technical Validation					
	9	Partially Accepted			PART		
	9	Received			RCVD		
	9	Rejected			RJCT		
	9	Reminder			RMDR		
	9	Warning			WARN		
	9	Incorrect			INCF		
	9	Filename					
	9	Corrupted File			CRPT		
	8	Detailed Validation Rule	<DtldVldtnRule>	[0..*]			
	9	Identification	<Id>	[1..1]	text{1,35}		
	9	Description	<Desc>	[0..1]	text{1,350}		
	9	Scheme Name	<SchmeNm>	[0..1]	Choice		
	10	Code	<Cd>	[1..1]	text{1,4}		
	10	Proprietary	<Prtry>	[1..1]	text{1,35}		
	9	Issuer	<Issr>	[0..1]	text{1,35}		



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