
TO : Cypriot Investment Firms
FROM : Cyprus Securities and Exchange Commission
DATE : 30 January 2012
CIRCULAR No. : CI144-2012-01
FILE No. : E.K. 6.1.14
SUBJECT : CIF Record Content

The Cyprus Securities and Exchange Commission ('the Commission'), taking into account the need to simplify its procedures and to exercise effective supervision, informs you that intends to create an electronic data record of Cypriot Investment Firms (hereinafter referred to as 'CIF record'), which will include information on contact details, staff, activities and operations of CIFs. Specifically:

1. CIF record content

The CIF record will include the information contained in the XML file, which is attached as Appendix and posted as well on the Commission's website at http://www.cysec.gov.cy/epeydb_en.aspx.

2. Creating and updating the CIF record

Initially, CIFs must complete all sections of the XML file, where applicable and send it to the Commission, as defined in the following paragraphs.

Thereafter and during their operation, CIFs, when making or intending to make changes to the information contained in the CIF record, must complete only the section of the XML file that refers to the changes and send it to the Commission as defined in the following paragraphs. For example, if a CIF intends to appoint a board member, it must complete and send to the Commission only the section of the XML file that refers to the organisational structure.

3. Submission time of the XML file

Initially, the entire XML file will be sent to the Commission on February 20, 2012. The CIF record will be created by using this information.

From 1st March 2012 (the official launch date of the CIF record) and thereafter, the XML file (only the affected section) will be sent to the Commission within the time

limit laid down by the relevant section of the Investment Services and Activities and Regulated Markets Law of 2007, as in force ('the Law').

Following the example referred to in paragraph 2 above, the CIF must send to the Commission the XML file with the imminent appointment of the board member (only the section of the organisational chart) at least one month before the change occurs (Section 32(1) of the Law).

4. How to send the XML file

The XML file is submitted to the Commission electronically through the Transaction Reporting System - TRS ('the TRS system').

We remind you that the TRS system is already used for reporting transactions (TREM), pursuant to section 45 of the Law, as well as for the submission of the capital adequacy and exposures returns, pursuant to Directive DI 144-2007-05 of 2011.

5. Access to the TRS system

The technical information to access the TRS system is:

i. Address:

Server IP address: 212.31.100.75
Server Type: SFTP using SSH2

ii. Program to be used:

It is possible to use any program for file transfer (SFTP - SSH2), such as the FileZilla, which is free and available at <http://filezilla.sourceforge.net/>

iii. TRS directories:

In 'user home directory', there are two 'directories':

- Incoming – the Form will be uploaded to this folder.
- Outgoing – the feedback file of the Form will be downloaded from this folder.

iv. Login / Password:

The access (login) and security (password) codes will be the same as those given for the reporting of the transactions (TREM) and the submission of the capital adequacy and exposures returns.

For information purposes, the Commission intends, in the future, to create a platform of support for the TRS system via its website for better management, security and data control.

6. Pattern of the submitted information

The CIF record information will be sent to the Commission in XML format and accordance with the specifications described in **Appendix** of this Circular.

7. Successful submission of the XML file

In cases where the submission of the XML file is successful, the CIFs will receive, via the TRS system (to the outgoing folder), the feedback file, as specified in attached Appendix, which will bring marked 'OK'. This will be the only evidence of the CIF that the XML file has been submitted successfully.

8. Unsuccessful submission of the XML file

In cases where the submission of the XML file is not successful, i.e. errors detected during the processing of the XML file from the TRS system, the CIFs will receive, via the TRS system (to the outgoing folder), the feedback file, which will record the errors detected.

The CIF should immediately correct the errors and resubmit the XML file with the same procedure as described above. During this period and until the successful submission of the file, the Commission will consider the record as not submitted.

9. Submission of the original documents

In addition to the electronic submission of the XML file, CIFs are required, where they intend to make changes that the prior approval of the Commission is necessary, to provide, **in its original form**, all the prerequisite so far documents. These changes are:

- i. Extension of the CIF authorisation (section 23 of the Law).
- ii. Reduction of the share capital (section 31 of the Law).
- iii. Changes of the persons who effectively direct the CIF (section 32 of the Law).
- iv. Acquisition, sale, increase or reduction of a shareholding (section 33 of the Law).
- v. Appointment of a tied agent (section 40 of the Law).
- vi. Exemption to a person who is not registered in the Public Registry of section 53 of the Law (section d2 of the Law).
- vii. Establishment of a CIF branch (sections 75 and 76 of the Law).
- viii. Freedom to provide services from a CIF (section 79 of the Law).

All other information contained in the CIF record will be submitted **only** electronically.

10. Responsible person/s for communication with the Commission

For better communication, the CIFs are required not later than February 20, 2012, to indicate the person/s that will be responsible for communication with the Commission in relation to the CIF record.

11. Official launch date of the CIF record

As mentioned above, the official launch date of the CIF record is on March 1st, 2012.

12. Probationary period

To achieve the opening and successful operation of the CIF record, the Commission encourages the CIFs to send, on a trial basis, the XML file between 6th to 17th of February 2012.

13. Summary of the dates

- 6 - 17/02/2012 = Trial Period
- 20/02/2012 = Submission of the entire XML file + declare the responsible persons
- 1/3/2012 = Official launch date of the CIF record
- Thereafter = Send the XML file (part) when changes arise

14. Queries/Information

For information regarding the CIF record, as well as technical matters regarding the Commission's TRS system, the CIFs are advised to visit frequently the Commission's Web Site and specifically the webpage as mentioned on paragraph 1 above. For further clarifications on technical matters regarding TRS system, the CIFs are asked to use the electronic address information.technology@cysec.gov.cy.

Yours sincerely

Demetra Kalogerou
Chairman of the Cyprus Securities and Exchange Commission

1. Data file content

XML data file fields are summarized by the table below:

The data field format identifiers are:

- a = letter
- d = decimal number
- x = alphanumeric
- n = digit
- S = sign

Data Field Type:

- M – Mandatory
- O - Optional

Επεξηγήσεις	Description English	XML	Data Field Format	Data Field Type (M,O)
Εταιρικά Στοιχεία	CIF details	KEPEYInfo		M
Κωδικός ΚΕΠΕΥ	Code	KEPcode	2(a)	M
Όνομα ΚΕΠΕΥ	Full name	KEPname	Max100(x)	M
Εμπορική επωνυμία	Trade name	KEPtradename	Max50(x)	O
Ημερομ. χορήγησης άδειας λειτουργίας	Authorisation date	KEPlicencedate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	M
Αριθμός άδειας λειτουργίας	Authorisation number	KEPlicencenumber	Max20(x)	M
Ημερομ. εγγραφής εταιρείας	Registration date	KEPregdate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	M
Αρ. εγγραφής εταιρείας	Registration number	KEPregnumber	Max20(x)	M
Διεύθυνση εγγεγραμμένου γραφείου	Registered office address	KEPregaddress	Max100(x)	M
Διεύθυνση κεντρικών γραφείων	Head office address	KEPcentraladdress	Max100(x)	M
Ταχυδρομική διεύθυνση	Postal address	KEPpostaladdress	Max100(x)	M

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Αρ. τηλεφώνου	Telephone number	KEPphone	Max20(x)	M
Αρ. φωτοτηλεμηνύματος	Fax number	KEPfax	Max20(x)	M
Ηλεκτρονική διεύθυνση	Electronic mail address	KEPemail	Max50(x)	M
Διεύθυνση διαδικτυακού τόπου	Website address	KEPwebpage	Max50(x)	O
Διεύθυνση διαδικτυακού τόπου ομίλου	Group's website address	KEPwebpagegroup	Max50(x)	O
Πρόσωπο επικοινωνίας	Contact person	KEPcontact		M
Αρ. ταυτότητας/διαβατηρίου	ID /passport number	PERid	Max50(x)	M
Όνομα	Full name	PERname	Max50(x)	M
Αρ. τηλεφώνου	Telephone number	PERphone	Max20(x)	M
Αρ. φωτοτηλεμηνύματος	Fax number	PERfax	Max20(x)	M
Ηλεκτρονική διεύθυνση	Electronic mail address	PERemail	Max50(x)	M
Θέση εργασίας	Position	KEPcontactposition	Max50(x)	M
Εξωτερικοί ελεγκτές	External auditors	KEPauditors		M
Αρ. εγγραφής οίκου	Registration number	AUDregnumber	Max20(x)	M
Όνομα οίκου	Audit firm name	AUDname	Max100(x)	M
Όνομα υπεύθυνου συνεταίρου	Partner in charge (name)	AUDpersonname	Max50(x)	M
Ταχυδρομική διεύθυνση	Postal address	AUDpostaladdress	Max100(x)	M
Αρ. τηλεφώνου	Telephone number	AUDphone	Max20(x)	M
Αρ. φωτοτηλεμηνύματος	Fax number	AUDfax	Max20(x)	M
Ηλεκτρονική διεύθυνση	Electronic mail address	AUDemail	Max50(x)	M
Νομικοί Σύμβουλοι	Legal advisers	KEPlegal		O
Αρ. εγγραφής οίκου	Registration number	LEGregnumber	Max20(x)	M
Όνομα οίκου	Law office name	LEGname	Max100(x)	M
Όνομα υπεύθυνου νομικού συμβούλου	Legal advisor in charge (name)	LEGpersonname	Max50(x)	M
Ταχυδρομική διεύθυνση	Postal address	LEGpostaladdress	Max100(x)	M
Αρ. τηλεφώνου	Telephone number	LEGphone	Max20(x)	M
Αρ. φωτοτηλεμηνύματος	Fax number	LEGfax	Max20(x)	M
Ηλεκτρονική διεύθυνση	Electronic mail address	LEGemail	Max50(x)	M
Δραστηριότητες	Activities	KEPservice		M

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				Min-1 Max-15
Αρ. Υπηρεσίας (όπως στον πίνακα πιο κάτω)	Service Number (as in services table below)	Serviceid	1(n) Number 1-15	M
Χρηματοοικονομικά μέσα (όπως στον πίνακα πιο κάτω)	Financial Instruments (as in Instruments table below)	LicencedCategories	Any combination of numbers 1-10 separated with comma. E.g.: 3,5,9	O
Ημερομ. άδειας υπηρεσίας	Author. date service	LicenceDate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	M
Άλλες εργασίες (συγκεκριμενοποιήστε)	Other activities (specify)	KEPotherActivities	Max250(x)	O
Άδεια διαμεσολαβητή στον ασφαλιστικό τομέα	Insurance intermediary license	KEPinsuranceSectorLicence	1(a) Y: Yes, licenced N: NO, not licenced	M
Ημερομ. άδειας διαμεσολαβητή στον ασφαλιστικό τομέα	Insurance intermediary licence date	KEPinsuranceSectorLicence Date	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	O Mand. if above=Y
Συστηματικός εσωτερικοποιητής	Systematic internaliser	InternaliserInfo		O Min-0 Max-Any
Όνομα εκδότη	Issuer name	INTissuer	Max100(x)	M
Όνομα ρυθμιζόμενης αγοράς εισηγμένου εκδότη	Regulated market name where the shares are admitted to trading	INTmarket	Max100(x)	M
Κράτος μέλος καταγωγής ρυθμιζόμενης αγοράς εισηγμένου εκδότη	Issuer home member state	INTcountry	2(a) ISO 3166 – ISO country code	M
Υποκαταστήματα	Branches	BranchInfo		O Min-0 Max-Any
Χώρα εγκατάστασης	Country of establishment	BRACountry	2(a) ISO 3166 – ISO country code	M
Διεύθυνση	Address	BRAPostaladdress	Max100(x)	M
Αρ. τηλεφώνου	Telephone number	BRAPhone	Max20(x)	M

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Αρ. φωτοηλεμηνύματος	Fax number	BRAfax	Max20(x)	M
Ηλεκτρονική διεύθυνση	Electronic email address	BRAemail	Max50(x)	M
Δραστηριότητες	Activities	BRAservice		M Min-1 Max-15
Αρ. Υπηρεσίας (όπως στον πίνακα πιο κάτω)	Service Number (as in services table below)	Serviceid	1(n) Number 1-15	M
Χρηματοοικονομικά μέσα (όπως στον πίνακα πιο κάτω)	Financial Instruments (as in instruments table below)	LicencedCategories	Any combination of numbers 1-10 separated with comma. E.g.: 3,5,9	O
Ημερομ. άδειας υπηρεσίας	Author. date service	LicenceDate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	M
Άλλες εργασίες (συγκεκριμενοποιήστε)	Other activities (specify)	BRAotherActivities	Max250(x)	O
Ελεύθερη παροχή υπηρεσιών	Free provision of services	FreeInfo		O Min-0 Max-1
Χώρα	Country	FREcountry	2(a) ISO 3166 – ISO country code	M Min-1 Max-Any
Δραστηριότητες	Activities	FREservice		M Min-1 Max-15
Αρ. Υπηρεσίας (όπως στον πίνακα πιο κάτω)	Service Number (as in services table below)	Serviceid	1(n) Number 1-15	M
Χρηματοοικονομικά μέσα (όπως στον πίνακα πιο κάτω)	Financial Instruments (as in instruments table below)	LicencedCategories	Any combination of numbers 1-10 separated with comma. E.g.: 3,5,9	O
Ημερομ. άδειας υπηρεσίας	Author. date service	LicenceDate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	M
Γραφεία Αντιπροσώπευσης	Representative offices	RepresentationInfo		O Min-0 Max-Any
Χώρα	Country of establishment	REPcountry	2(a)	M

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			ISO 3166 – ISO country code	
Διεύθυνση	Postal address	REPpostaladdress	Max100(x)	M
Τηλέφωνο	Telephone number	REPphone	Max20(x)	M
Αρ. φωτοτηλεμηνύματος	Fax number	REPfax	Max20(x)	M
Ηλεκτρονική διεύθυνση	Electronic mail address	REPe-mail	Max50(x)	M
Δραστηριότητες (συγκεκριμενοποιήστε)	Activities (specify)	REPActivities	Max250(x)	M
Ανάθεση υπηρεσιών/λειτουργιών	Outsourced services/ functions	DelegationInfo		O Min-0 Max-Any
Όνομα παροχέα	Service provider name	DELprovidername	Max100(x)	M
Χώρα εγκατάστασης παροχέα	Service provider country of establishment	DELcountry	2(a) ISO 3166 – ISO country code	M
Όνομα προσώπου επικοινωνίας	Contact person	DELcontactname	Max100(x)	M
Αριθμός τηλεφώνου επικοινωνίας	Telephone number	DELphone	Max20(x)	M
Ηλεκτρονική διεύθυνση	Electronic mail address	DELe-mail	Max50(x)	M
Αρμόδια ή Εποπτική Αρχή	Competent or Supervisory Authority	DELauthority	Max100(x)	M
Υπηρεσίες/λειτουργίες που ανατέθηκαν (συγκεκριμενοποιήστε)	Outsourced services/functions (specify)	DELActivities	Max250(x)	M
Συνδεδεμένοι αντιπρόσωποι	Tied agents	ConnectedInfo		O Min-0 Max-Any
Αρ. εγγραφής εταιρείας	Company registration number	COMregnumber	Max20(x)	M
Όνομα εταιρείας	Company name	COMname	Max100(x)	M
Διεύθυνση εργασίας	Work address	COMpostaladdress	Max100(x)	M
Αρ. τηλεφώνου	Telephone number	COMphone	Max20(x)	M
Αρ. φωτοτηλεμηνύματος	Fax number	COMfax	Max20(x)	M
Ηλεκτρονικό ταχυδρομείο	Electronic email address	COMemail	Max50(x)	M
Ονοματεπώνυμο φυσικού προσώπου	Physical person name	PERname	Max50(x)	M
Αρ. ταυτότητας/διαβατηρίου	ID/passport number	PERid	Max50(x)	M
Ημερομηνία έναρξης συνεργασίας	Commencement date of	CONstartdate	4(n)-2(n)-2(n)	M

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	cooperation		ISO 8601 Date Format; YYYY-MM-DD	
Ημερομηνία διακοπής συνεργασίας	Cessation date of cooperation	CONenddate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	O
Δραστηριότητες	Activities	CONservice		M Min-1 Max-3
Αρ. Υπηρεσίας (όπως στον πίνακα πιο κάτω)	Service Number (as in services table below)	Serviceid	1(n) Number 1,5 or 7	M
Χρηματοοικονομικά μέσα (όπως στον πίνακα πιο κάτω)	Financial Instruments (as in instruments table below)	LicencedCategories	Any combination of numbers 1-10 separated with comma. E.g.: 3,5,9	O
Ημερομ. άδειας υπηρεσίας	Author. date service	LicenceDate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	M
Προώθηση υπηρεσιών	Promoting services	CONpromoteServicesLicence	1(a) Y: Yes, licenced N: NO, not licenced	M
Ημερομ. άδειας προώθησης υπηρεσιών	Promoting services licence date	CONpromoteServicesLicence Date	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	O Mand. if above=Y
Προσέλκυση πελατών	Soliciting business	CONSolicitingLicence	1(a) Y: Yes, licenced N: NO, not licenced	M
Ημερομ. άδειας προσέλκυσης πελατών	Soliciting business licence date	CONSolicitingLicenceDate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	O Mand. if above=Y
Άλλες εργασίες (θα προσθέσετε νέα εργασία και θα γράφετε)		CONotherActivities	Max250(x)	O
Πρόσβαση σε ρυθμιζόμενες αγορές	Access to regulated markets	RegulatedInfo		O Min-0 Max-Any
Όνομα	Name	REGmarket	Max100(x)	M
Χώρα εγκατάστασης	Country of establishment	REGcountry	2(a)	M

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			ISO 3166 – ISO country code	
Ιδιότητα μέλους	Membership type	REGtype	1(a) X: Order Execution M: Market maker	M
Μετοχική Δομή	Shareholders structure	ShareholderInfo		M Min-1 Max-Any
Φυσικό πρόσωπο	Physical person	SHAperson		O Mandatory one of SHAperson or SHAccompany
Αρ. ταυτότητας/διαβατηρίου	ID/passport number	PERid	Max50(x)	M
Όνομα	Name	PERname	Max100(x)	M
Εταιρεία	Company	SHAccompany		O Mandatory one of SHAperson or SHAccompany
Αρ. εγγραφής εταιρείας	Company registration number	COMregnumber	Max20(x)	M
Όνομα εταιρείας	Company name	COMname	Max100(x)	M
Χώρα Προέλευσης / καταγωγής	Country of origin	SHAcountryorigin	2(a) ISO 3166 – ISO country code	M
Ποσοστό συμμετοχής	Percentage of holding	SHApersent	Max5(d)	M
Ημερομηνία απόκτησης συμμετοχής	Acquisition date of direct holding	SHAstartdate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	M
Ημερομηνία πώλησης συμμετοχής	Disposal date of direct holding	SHAenddate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	O
Συμμετοχή άμεση ή έμμεση	Direct or indirect participation	SHAtype	1(a) D: Direct Shareholding	M

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			B: Beneficiary	
Οργανωτική Δομή	Organisational structure	OrganisationInfo		M Min-1 Max-Any
Αρ. ταυτότητας/διαβατηρίου	ID/passport number	PERid	Max50(x)	M
Όνομα	Name	PERname	Max100(x)	M
Χώρα καταγωγής	Country of origin	ORGcountryorigin	2(a) ISO 3166 – ISO country code	M
Χώρα διαμονής	Country of residence	ORGcountryresidence	2(a) ISO 3166 – ISO country code	M
Θέση	Position	ORGposition	Max50(x)	M
Εταιρεία ή Υποκατάστημα	Company or Branch	ORGbranch	2(a) ISO 3166 – ISO country code	O Mandatory for ORGtype=M, P
Τμήμα	Department	ORGsection	Max100(x)	O Mandatory for ORGtype=P
Ημερομηνία διορισμού	Appointment date	ORGstartdate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	M
Ημερομηνία παύσης/αποχώρησης	Cessation/resignation date	ORGenddate	4(n)-2(n)-2(n) ISO 8601 Date Format; YYYY-MM-DD	O
Ιδιότητα	Capacity	ORGtype	1(a) D: Director M: Senior Manager P: Junior personnel	M

Services and activities / Υπηρεσίες και δραστηριότητες

1. Λήψη και διαβίβαση εντολών / Reception and transmission of orders
2. Εκτέλεση εντολών / Execution of orders
3. Διενέργεια συναλλαγών για ίδιο λογαριασμό / Dealing on own account
4. Διαχείριση χαρτοφυλακίων / Portfolio management
5. Παροχή επενδυτικών συμβουλών / Investment advice
6. Αναδοχή ή/και διάθεση με δέσμευση ανάληψης / Underwriting or/and placing on a firm commitment basis
7. Διάθεση χωρίς δέσμευση ανάληψης / Placing without a firm commitment basis
8. Λειτουργία ΠΜΔ / Operation of MTF.
9. Φύλαξη και διαχείριση, περιλαμβανομένης της θεματοφυλακής / Safekeeping and administration, including custodianship
10. Παροχή πιστώσεων ή δανείων / Granting credits or loans
11. Παροχή συμβουλών σε επιχειρήσεις / Advice to undertaking
12. Υπηρεσίες ξένου συναλλάγματος / Foreign exchange services
13. Έρευνα στον τομέα των επενδύσεων και χρηματοοικονομική ανάλυση / Investment research and financial analysis
14. Υπηρεσίες σχετιζόμενες με την αναδοχή / Services related to underwriting
15. Επενδυτικές υπηρεσίες και δραστηριότητες και παρεπόμενες υπηρεσίες στα υποκείμενα μέσα / Investment services and activities and ancillary services related to underlying instruments

Financial Instruments / Χρηματοοικονομικά μέσα

1. Κινητές αξίες / Transferable Securities
2. Μέσα χρηματαγοράς / Money Market Instruments
3. Μερίδια οργανισμών συλλογικών επενδύσεων / Units in collective investment undertakings
4. Options, futures, swaps, forward-rate agreements and derivatives contracts σχετιζόμενα με κινητές αξίες, νομίσματα, επιτόκια ή αποδόσεις, ή άλλα παράγωγα μέσα, χρηματοοικονομικούς δείκτες ή άλλα χρηματοοικονομικά μεγέθη δεκτικά εκκαθαρίσεως με φυσική παράδοση ή με ρευστά διαθέσιμα
5. Options, futures, swaps, forward-rate agreements and derivative contracts σχετιζόμενα με εμπορεύματα, που εκκαθαρίζονται με ρευστά διαθέσιμα ή μπορούν να εκκαθαρισθούν με ρευστά διαθέσιμα κατ' επιλογή ενός συμβαλλόμενου μέρους
6. Options, futures, swap και other derivative contracts σχετιζόμενα με εμπορεύματα, που επιδέχονται εκκαθαρίσεως με φυσική παράδοση, εφόσον είναι διαπραγματεύσιμα σε ρυθμιζόμενη αγορά ή/και ΠΜΔ
7. Options, futures, swaps, forwards και other derivative contracts σχετιζόμενα με εμπορεύματα, που επιδέχονται εκκαθαρίσεως με φυσική παράδοση, εκτός του σημείου 6 και δεν προορίζονται για εμπορικούς σκοπούς
8. Παράγωγα μέσα για τη μετακύληση του πιστωτικού κινδύνου / Derivative instruments for the transfer of credit risk
9. Contracts for differences
10. Options, futures, swaps, forwards and other derivative contracts σχετιζόμενα με κλιματικές μεταβλητές, ναύλους, άδειες εκπομπής ρύπων, ή ποσοστά πληθωρισμού ή άλλες επίσημες οικονομικές στατιστικές, που εκκαθαρίζονται με ρευστά διαθέσιμα ή μπορούν να εκκαθαρισθούν με ρευστά διαθέσιμα κατ' επιλογή ενός συμβαλλόμενου μέρους καθώς και κάθε άλλη σύμβαση παράγωγου μέσου σχετιζόμενη με περιουσιακά στοιχεία, δικαιώματα, υποχρεώσεις, δείκτες και μέτρα, εφόσον δεν προβλέπεται διαφορετικά στο παρόν Μέρος

In addition to fields exchanged in a data file, files will contain characteristics describing the file itself. These fields are:

KEPEY Code

Definition – This field contains the Regulated Entity’s code. This is the Regulated Entity which has generated the file.

Standard – The alpha-2 code supplied by the Cyprus Securities and Exchange Commission (CySEC) which can be found in Annex IV.

Validation – Field should be a code from one of the 105 approved Regulated Entities (as of the day of this circular).

Creation date

Definition – The date at which the file was created.

Standard - The extended ISO 8601 Date Format standard YYYY-MM-DD must be used to identify the creation date.

Validation – It must be the correct date format.

Creation Time

Definition – The time at which the file was generated.

Standard - The ISO 8601 Time Format HH:MM:SS should be used to identify the time at which the file was generated. A separate field should be included with values '+HH' or '-HH' to indicate that they used local time zone for the creation of the file is HH hours ahead or behind UTC.

Validation – Fields must be populated and the correct format must be used.

Version

Definition – The version of the XML Schema Definition (XSD) used to generate the file.

Standard – Should be the exact version number: ex:0.7, 0.8, 1.1 etc...

Validation – The fields must be populated with the exact version number of the XSD.

Summary

Field Name	Data Field Format (*)	Data Field Values	Category	Data Field Type (M,O)
KEPEY code	2(x)	KEPEY code supplied by CySEC	Identifier	M
Version	(n)		Identifier	M
Creation time Offset	S2(n)	ISO 8601 Date Format; +/-HH	Time offset of the creation time	M
Creation Date	4(n)- 2(n)- 2(n)	ISO 8601 extended Date Format; YYYY-MM-DD	Datetime	M
Creation Time	2(n): 2(n): 2(n)	ISO 8601 Date Format; HH:MM:SS	Datetime	M
	S2(n)	ISO 8601 Time Zone Offset Format; SHH	Datetime	M

2. XML format

As defined by XML standards, XML files are described using XML schemes. The XML scheme corresponding to CIF reporting files is below.

This XML schema is also the IT tool to validate data received and sent between Investment Firms and the CYSEC.

The main XML scheme is CIF.xsd.

You can download file CIF.xsd from the CYSEC website

Sub-schemes are defined in this file:

You can download file Entities.xsd from the CYSEC website

You can also find below an example of a file which could be exchanged according to the scheme presented above:

You can download file XX_KPDATA_CY_000001_11.xml from the CYSEC website

Examples of programs that can be used for creating the XML file are :

XML Notepad 2007, which can be downloaded for free from :
<http://www.microsoft.com/download/en/details.aspx?id=7973>

XMLFox, which can also be downloaded for free from :
<http://www.xmlfox.com>

A lot of other XML creator / editor programs are available on the internet.

All files should be validated with the supplied schema file before sent to CYSEC.

3. Feedback files

Feedback files are generated by CYSEC to check that the file has been received, and provide information on errors.

There is one feedback file for one data file received.

Feedback records

Feedback files contain different type of data:

- Information on the feedback file
- Information on the original file
- Then, errors found in the file are listed.

Fields corresponding to these domains are presented below.

Convention used for formats:

- a = Letter
- d = Decimal number
- x = Any ASCII character
- n = digit
- S = sign

File information

Data Field	Forma	Value	Description
Authority key	2(a)	ISO 3166 Country Code	CY
Creation date	10(n)	ISO 8601 Date Format; YYYY-MM-DD	Date of creation of the file
Creation time	8(n)	ISO 8601 Date Format; HH:MM:SS	Time of creation of the file
Creation time Offset	S2(n)	ISO 8601 Date Format; +/-HH	Time offset of the creation time
Version	(n)	Ex: 1.0	The version of the XSD used to generate the feedback file.

Information on the original file

Data Field Name	Forma t	Value	Description
File Name	2(a)_6(a)_2(a)_6(n)_2(n)		Original file name to which the feedback is

Errors

Errors will be managed using two types of error records:

- File error
- Content error

File errors

Data Field Name	Format	Value	Description
Error Reference	FIL-3(n)	Valid error reference	Reference code
Error message	90(x)		Message corresponding to the error reference

Content errors

Data Field Name	Format	Value	Description
Error Reference	CON-3(n)	Valid error reference	Reference code
Error message	(a)		Message corresponding to the error reference

As defined by XML standards, XML files are described using XML schemes. The XML scheme corresponding to feedback files is below.

The main XML scheme is CYSEC_FDBKPD.xsd.

You can download file CYSEC_FDBKPD.xsd from the CYSEC website

The sub-scheme is defined in this file:

You can download file ErrorsInfoTypesKPD.xsd from the CYSEC website

You can also find below an example of a file which could be exchanged according to the scheme presented above:

You can download file CY_FDBKPD_XX_000001_11.xml from the CYSEC website

4. Files naming convention

All files must use the following naming convention:

SourceFirm_FileType_DestinationFirm_SequenceNumber_Year.xml

1. SourceFirm is the 2-alpha EPEY code supplied by CYSEC for the Firm from which the file is sent. This field identifies who has sent the file. This is “CY” if it’s a Feedback file send by CYSEC.
2. Filetype is a 6-character field . This field identifies what is in the file.

At the moment, file types exchangeable on the system are:

1. Data file
2. Feedback from CYSEC

File type reference	
File Type Code	Data
KPDATA	Data files
FDBKPD	Feedback on Data files

3. DestinationFirm is “CY” in case of a Data file. In case of a Feedback file it is the 2-alpha EPEY code supplied by CYSEC for the Firm for whom the file is for.
4. SequenceNumber is a unique sequence number on 6 digits. This field is completed with 0 to fit to 6 characters (for example 000524). This number is incremented each time a Firm sends a file. It can start again at 000000 after 999999. If the same file is sent again, a new sequence number is provided. This number identifies uniquely a single file. Should a problem occur in the sending of a file, the sequence number will help out in identifying a unique file.
5. Year is a 2 digits field. It is the year when the file was sent. It facilitates archiving.
6. Extension of the file: each file generated by a Firm is given an .xml extension.

Examples

1/ “XX Firm” sends a data file to CYSEC.

The file should be named as:

XX_KPDATA_CY_000123_11.xml

2/ CYSEC sends a file to “XX Firm”. This is a feedback file concerning the data file. This should be named:

CY_FDBKPD_XX_000728_11.xml