

# EMT/EPT File Transfer - technical specifications

Version 1.1.0

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## 1. Summary

This document describes the technical requirements for loading original files such as EMT, EPT in Excel or CSV-format into fundinfo's system.

## 2. Data Dissemination Service

This file transfer service is only available for clients using fundinfo's data dissemination service. For any supplementary information regarding data dissemination, please do not hesitate to contact [membersupport@fundinfo.com](mailto:membersupport@fundinfo.com).

## 3. Characteristics

Files are disseminated if both of the following criteria for static data information are met:

- Assigned share classes exist in fundinfo's system
- Share Classes are not blocked by OFST900022 'Dissemination Blocker Share Class'

In contrast to fundinfo's document dissemination principles, most file types do not require a mandatory indication of countries they are valid for. In addition, the filter of static data's country registration information does not apply for this service.

Only country-specific file types such as DCPT, FVPT require an indication of a country (here: GB) to be successfully disseminated.

All files being unique in a specific attribution combination are disseminated as long as they are not covered by an updated version (trigger: file with more up-to-date 'Date' attribute).

## 4. Specifications

To load the files into fundinfo's database, they need to comply with the following standards:

### 4.1 File formatting

- Excel (\*.xls, \*.xlsx)
- Comma-separated Values (\*.csv)

Please note: Other file types are not supported.

If you submit the same file (identical attributes in the file name) twice, one as \*.xlsx/\*.xls and the other file as \*.csv, our system can only support one of these two. Therefore, please consider the needs of your intended recipients to choose the appropriate file type.

## 4.2 File naming convention

To classify the files correctly during the uploading process, each file name needs to follow a certain file naming convention.

- Kindly note that there are mandatory attributes (such as file type, date etc.), which – once missing – will prevent the loading into the system, as well as optional attributes which allow a more precise classification (e.g. differentiation between different language versions).
- Furthermore, keep in mind that the sorting of attributes in the file names (defined below) must follow a predetermined order.
- Separation of attributes by underscore; separation of multiple values within one attribute by dash (e.g. "EPT\_2017-10-01\_LU1234567890-LU0987654321")

### 4.2.1 Order of attributes in the file name

- FileType\*
- Date\*
- ShareClass\* (optional combination with LevelType)
- Country\*
- Constraint
- Language
- DisseminationRecipient

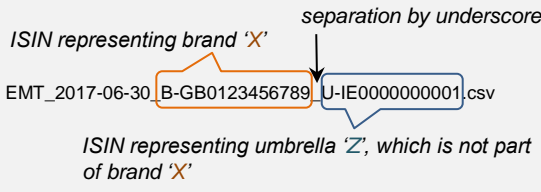
*\*mandatory attributes; country only mandatory for DCPT, FVPT*

### 4.2.2 Mandatory attributes

Property	Formatting and field values	Description
<b>FileType</b>	<p><u>Format:</u> 3- or 4-character uppercase code</p> <p><u>Values</u></p> <ul style="list-style-type: none"> <li>- EPT</li> <li>- EMT</li> <li>- CEPT</li> <li>- CPTP</li> <li>- DCPT</li> <li>- FVPT</li> </ul>	<p>Type of the file you are sending; e.g. EMT, EPT, CEPT Prices ("CPTP").</p> <p>Following file types are currently supported:</p> <p>EPT: European PRIIPs Template            EMT: European MiFID Template, Version 1.0            CEPT: "Comfort" EPT RHP            CPTP: "Comfort" EPT Prices            DCPT: DC Workplace Pensions Template*            FVPT: DC Workplace Pensions Fair Value Mid-Price Template*</p> <p>*country indication mandatory – details see below</p>
<b>Date</b>	<p><u>Format:</u> YYYY-MM-DD</p>	<p><i>As of date</i> of the file, specifying the date to which the <i>file content refers</i>.</p> <p>This date is relevant to determine which file version is the newest (most up-to-date) one.</p>
<b>ShareClass</b>	<p><u>Format:</u> ISIN (11 alphanumeric, 1 digit) without prefix</p>	<p>One or multiple ISINs the file is valid for.</p> <p>Can be combined with the optional feature to assign the file on fund level ("F"), on umbrella level ("U") or for the entire company's brand ("B") represented by the Fund Group Name (OFST001000) in fundinfo's system. Please refer to 'LevelType' for more details.</p>

Property	Formatting and field values	Description
<b>Country</b>	<u>Format:</u> <a href="#">ISO 3166-1 alpha-2</a> country code(s)	Indication of one or more countries for which the file is valid. Optional for most of the file types, mandatory for DCPT, FVPT.  Can be combined with constraint options for one or multiple countries (see further details in the 'Constraint' section).

#### 4.2.3 Optional attributes

Property	Values	Description
<b>LevelType</b>	<p><u>Format:</u> 1 character uppercase or empty</p> <p><u>Values</u></p> <ul style="list-style-type: none"> <li>- F</li> <li>- U</li> <li>- B</li> </ul>	<p>Optional tag in combination with the indication of one or multiple ISINs, to allocate the file for the entire fund ("F"), umbrella ("U") or company's brand ("B").</p> <p><u>Important:</u> Please keep in mind that by using this level allocation, the <b>file will expand itself in the future</b> for additional share classes added to fundinfo's system at a later time. Hence, please ensure to use this feature only in case you are sure that the file also applies for those additional share classes.</p> <p><u>LevelType Scaling - Priorities:</u> In case fundinfo's system captures multiple files containing identical attributes with the only exception of different 'LevelTypes', or even a mix of files using this attribute or not, only the file with the most granular 'LevelType' attribute is available for dissemination for the corresponding ISINs.</p> <p>Descending order of granularity ('LevelType'):</p> <ul style="list-style-type: none"> <li>- [no use]</li> <li>- F (Fund)</li> <li>- U (Umbrella)</li> <li>- B (Brand)</li> </ul> <p>In case you wish to replace files of a high granular level with those of a less granular one, fundinfo requires a written instruction to manually remove those files.</p> <p><b>NEW:</b> to allow a more precise ISIN allocation, the combination of several level types is possible. In case you wish to allocate a file to brand X, but also cover umbrella Z of another brand (e.g. fund group), the file name should look as follows:</p> <p style="text-align: center;"> <i>ISIN representing brand 'X'</i>    <i>ISIN representing umbrella 'Z', which is not part of brand 'X'</i> </p> <p>Please make sure to separate the LevelType sections 'B' and 'U' with an underscore ("_"), multiple ISINs within the same LevelType section with a dash ("-"). The same also applies to the Fund LevelType 'F'.</p>

Property	Values	Description
<b>Constraint</b>	<p><u>Format:</u> 3 character uppercase or empty</p> <p><u>Values</u></p> <ul style="list-style-type: none"> <li>- RES</li> </ul>	<p>Parameter specifying if a file is for a specific group of investors only.</p> <ul style="list-style-type: none"> <li>- Optional constraint '<b>RES</b>' for files restricted to Professional Investors</li> <li>- Constraint can only be used in combination with Country indications. Will be ignored if used without.</li> </ul> <p><u>Implementation options:</u></p> <ul style="list-style-type: none"> <li>a. Classification of all countries "..._DE-CH-AT_RES_..."</li> <li>b. Classification at single country level "..._LU.RES-DE-AT-GB_..."</li> </ul>
<b>Language</b>	<p><u>Format:</u> <a href="#">ISO 639-1</a> language code(s)</p>	Language of the file's content.
<b>DisseminationRecipient</b>	<p><u>Format:</u> 4-digit uppercase alpha-numeric code(s)</p>	<p>Allows dissemination of 'non-public' files to specific recipients only.</p> <p>Codes to use are provided by fundinfo on request.</p>

## 5. Examples

```
EPT_2017-10-01_LU1234567890-LU0987654321.xlsx
CEPT_2017-01-01_F-LU1234567890_de.csv
CEPT_2017-01-01_LU1234567890-LU0987654321_DE-AT-CH_de_XXXX.xls
CPTP_2017-02-28_B-LU09876543210_DE-CH-AT_RES.csv
EMT_2017-06-30_B-GB0123456789_U-IE0000000001-LU0000000002_YYYY_CH-AT.xlsx
```

## 6. Transmission of files to fundinfo

Transmission of files by

- a) sending the files as mail attachment to [data-team@fundinfo.com](mailto:data-team@fundinfo.com)
- b) pushing the files on our ftp server (account details and credentials available upon request)

## 7. Revision History

Version	Date	Author	Description
1.0.0	25.10.2017	<a href="mailto:birgit.partin@fundinfo.com">birgit.partin@fundinfo.com</a>	Initial version
1.0.1	16.12.2017	<a href="mailto:birgit.partin@fundinfo.com">birgit.partin@fundinfo.com</a>	Clarification regarding file type (*xlsx/*csv)
1.0.2.	05.02.2018	<a href="mailto:birgit.partin@fundinfo.com">birgit.partin@fundinfo.com</a>	Specification on priorities when using 'Level Type' attribute  Specification of relation between attribute 'Constraint' and 'Country'
1.2.0	01.10.2018	<a href="mailto:birgit.partin@fundinfo.com">birgit.partin@fundinfo.com</a>	Addition of additional file types 'DCPT', 'FVPT'; new feature of LevelType assignment.

## 8. Contact information

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