

# CENTRAL SECURITIES DEPOSITORY REGULATION

Guidelines on the Submission of Internalised Settlement Reporting  
Technical Specifications Document for Licence Holders

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# Central Securities Depository Regulation Guidelines on the Submission of Internalised Settlement Reporting

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Compliance with Article 9 of Regulation (EU) N° 909/2014 of the European Parliament and of the Council of 23 July 2014 on improving securities settlement in the European Union and on central securities depositories and amending Directives 98/26/EC and 2014/65/EU and Regulation (EU) No 236/2012 ('CSDR').

The Guidelines cover the whole process of internalised settlement reporting and serve as a tool guiding the Licence Holder in submitting the internalised settlement reports through the LH Portal.

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## Version:

1.0

# Contents

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Guidelines on the Submission of Internalised Settlement Reporting	2
Logging into LH Portal	4
Report Submission	5
File Guidelines	6
File Naming Convention Guidelines	6
File Validation	7

# Logging into LH Portal

Investment Firms acting as settlement internalisers opting to participate in the test environment can do so by visiting the following website:

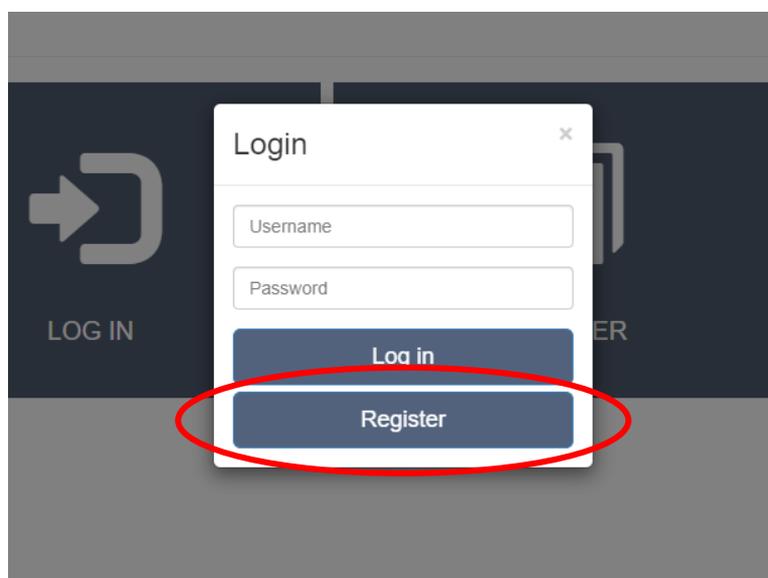
Test Environment: [testlhportalexternal.mfsa.com.mt](https://testlhportalexternal.mfsa.com.mt)

Meanwhile, the Live Environment will be available on [lhportal.mfsa.com.mt](https://lhportal.mfsa.com.mt). Accordingly, during the test period, Licence Holders are advised to only upload reports on the test environment. The test environment will eventually be switched off once the CSDR Internalised Settlement Feature will be deployed on the live environment.

The Authority would like to highlight that Licence Holders are required to create an account on both the test and live environments. Once accounts are created, settlement internalisers are expected to forward the registered email to the Authority in order to be granted access for the CSDR Internalised Settlement Reports submission platform. This step is required on both the test and live environments in order enable users to upload reports.

In order to create an account, Licence Holders may follow the below steps.

1. Visit [testlhportalexternal.mfsa.com.mt](https://testlhportalexternal.mfsa.com.mt) during testing phase or [lhportal.mfsa.com.mt](https://lhportal.mfsa.com.mt) during live phase.
2. Click 'Register'.



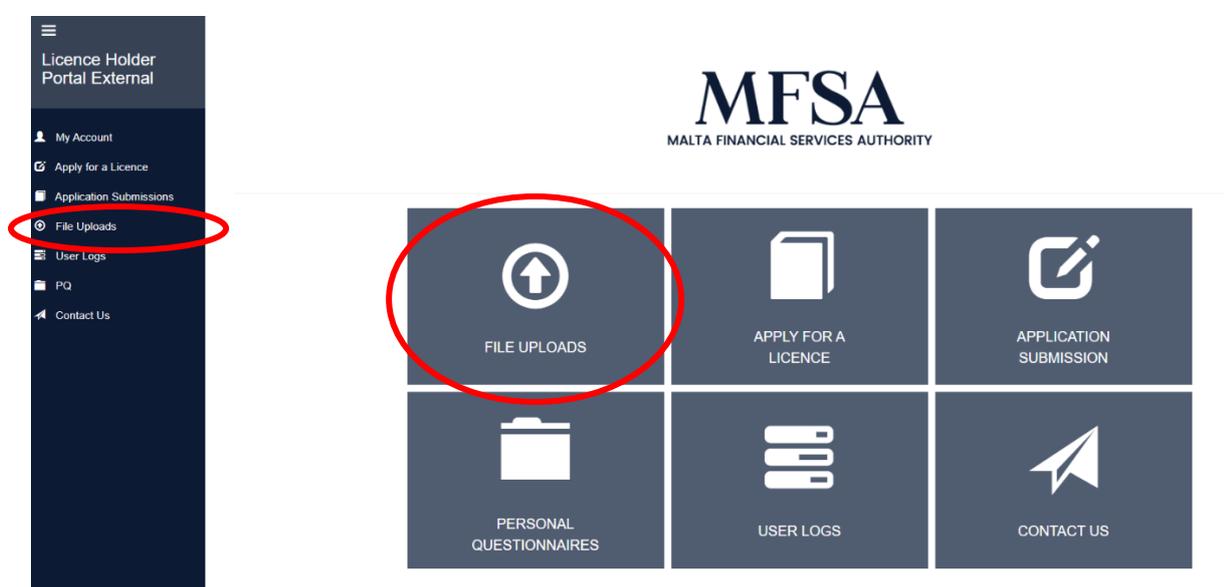
3. Input your credentials.
4. Click 'Create'.
5. An automatic email with a temporary password will be sent out to the registered email address.
6. Following the email, log in with the registered email and temporary password.

7. Once the account is validated, the system will prompt a change password request.
8. Change password.
9. Use LH Portal.

## Report Submission

In order to submit CSDR Internalised Settlement Reports, Licence Holders must follow the below steps:

1. Click 'File Uploads' menu item.



2. After clicking on the 'File Uploads' menu item, the Licence Holder will be prompted with its credentials.

### File Uploads

Use the feature below to upload files to the MFSA server. It is important that all file names are in the appropriate convention.

Licence Holder:

Project:

Files:  No file chosen

#### Guidelines on File Naming Convention

**Required Format:** NCAMT\_DATISR\_CSDR9\_MT-LEICode-Year-Quarter\_FileVersion

#### Example:

**ZIP File:** NCAMT\_DATISR\_CSDR9\_MT-LH1TestLeiCode-2019-Q2\_0001.zip

**XML File:** NCAMT\_DATISR\_CSDR9\_MT-LH1TestLeiCode-2019-Q2\_0001.xml

Please note that you are only allowed to upload 1 ZIPPED( ZIP) file amounting to 5Mb.

3. This screen should show the Licence Holder's name in the dropdown list and the CSDR Internalised Settlement Project in the second dropdown list.

If the Licence Holder is not able to access the page, either because it gets the following message: 'You do not have permission to access this page' or because the CSDR Internalised Settlement Reporting is not available in the dropdown list, it must contact the Authority and provide the respective registered email addresses, in order to be granted permission/access for the platform (as mentioned in the preceding section 'Logging into LH Portal').

4. Submit Internalised Settlement Reports.

## File Guidelines

The platform will only accept reports submitted in XML format. Moreover, the reports should be zipped before being uploaded. Both XML and ZIP files should have the same file name.

Licence holders will not be able to submit two reports at once. The platform will only allow one 1 Zip file to be uploaded with a maximum file size of 5MB.

Please note that, XML files should follow the XSD Schema provided by ESMA.

## File Naming Convention Guidelines

Reports submitted through the platform should follow the below file naming format:

NCAMT\_DATISR\_CSDR9\_MT-**LEI Code-Year-Quarter\_FileVersion**

Licence Holders will only be able to change the text formatted in **Red Bold font** above. Please find below the field guidelines:

Field	Guidelines
LEI Code	Licence Holder's LEI Code
Year	Reporting Year
Quarter	Reporting Quarter (Q1, Q2, Q3, or Q4)
File Version	Report Version for that particular Quarter and Year

These guidelines are also available on the right-hand side of the 'File Upload' screen on the LH Portal.

# File Validation

Before the report is successfully submitted, the LH Portal platform will validate the following file requirements:

- File Name (both for ZIP and XML files)
- Check whether only one ZIP file was updated
- Check whether the ZIP files contains only one file.
- Check whether the file contained by the ZIP file is XML.
- Validate the Quarter (from the file name) with the relevant reporting date (found in XML content)
- XSD validation with XML File

If the file does not meet the above requirements, a user-friendly message will be displayed, advising the user of the errors with the file. If an XSD Validation Error appears, the Licence Holder will need to contact MFSA to check XSD Validation Errors.

If these validations are passed, then the report submission should be successful. When a submission is successful, the file is uploaded directly to ESMA. After a report is processed by ESMA, the MFSA will automatically send the feedback file to the Licence Holder via Email. Feedback can also be downloaded from the LH Portal by clicking onto 'User Logs' menu item. In this screen, the Licence Holder will be able to view all previous submissions.

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