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## Appendix D VALIDATION RULES (REPORTING)

### D.1 FpML Standard Rules

#### D.1.1 Interest Rate

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
fpml-ird-14-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> New Trade, Backloading, Amendment</p> <p><b>Context:</b> Calculation Period Dates</p> <p><b>Description:</b> If <b>Effective Date</b> exists and if <b>Termination Date</b> exists, then <b>unadjusted date of Termination Date</b> must be after <b>unadjusted date of Effective Date</b>.</p>	<p><b>unadjusted date of Termination Date:</b> calculationPeriodDates/terminationDate/unadjustedDate</p> <p><b>unadjusted date of Effective Date:</b> calculationPeriodDates/effectiveDate/unadjustedDate</p>	<p><b>unadjusted date of Termination Date:</b> Floating Leg - Calculation Period Dates Block Fixed Leg - Calculation Period Dates Block</p> <p><b>unadjusted date of Effective Date:</b> Floating Leg - Calculation Period Dates Block Fixed Leg - Calculation Period Dates Block</p>

## D.1.2 Foreign Exchange

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
fpml-fx-19-r	<b>Action:</b> Request <b>Event:</b> New Trade, Backloading, Amendment <b>Context:</b> Foreign Exchange <b>Description:</b> Exchanged Currency 1 must not be equal to Exchanged Currency 2.	<b>Exchanged Currency 1:</b> exchangedCurrency1/paymentAmount/currency  <b>Exchanged Currency 2:</b> exchangedCurrency2/paymentAmount/currency	<b>Exchanged Currency 1:</b> Exchanged Currency 1 - Payment Amount > Currency - Fx Single Leg Block  <b>Exchanged Currency 2:</b> Exchanged Currency 2 - Payment Amount > Currency - Fx Single Leg Block
fpml-fx-39-r	<b>Action:</b> Request <b>Event:</b> New Trade, Backloading, Amendment <b>Context:</b> Trade <b>Description:</b> The value of Value Date must be equal to or after Trade Date.	<b>Value Date:</b> valueDate  <b>Trade Date:</b> tradeDate	<b>Value Date:</b> Fx Single Leg Block  <b>Trade Date:</b> Trade Header

### D.1.3 Shared Elements

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
fpml-shared-5-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> New Trade, Backloading, Amendment</p> <p><b>Context:</b> Fixed Leg, Floating Leg, Exchanged Currency</p> <p><b>Description:</b> Payer Party must not be equal to Receiver Party.</p>	<p><b>Payer Party:</b> payerPartyReference/@href</p> <p><b>Receiver Party:</b> receiverPartyReference/@href</p>	<p>Not applicable. This rule is FpML specific.</p>

#### D.1.4 ID / IDREF rules

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
fpml-idref-8-r	<b>Context:</b> <a href="#">CalculationPeriodDatesReference</a>  <b>Description:</b> The <a href="#">@href</a> attribute is equal to the <a href="#">@id</a> attribute of an element of type <a href="#">CalculationPeriodDates</a> .	As described.	Not applicable.  This rule is FpML specific.
fpml-idref-12-r	<b>Context:</b> <a href="#">ResetDatesReference</a>  <b>Description:</b> The <a href="#">@href</a> attribute is equal to the <a href="#">@id</a> attribute of an element of type <a href="#">ResetDates</a> .	As described.	Not applicable.  This rule is FpML specific.
fpml-idref-26-r	<b>Context:</b> <a href="#">BusinessCentersReference</a>  <b>Description:</b> The <a href="#">@href</a> attribute is equal to the <a href="#">@id</a> attribute of an element of type <a href="#">BusinessCenters</a> .	As described.	Not applicable.  This rule is FpML specific.
fpml-idref-29-r	<b>Context:</b> <a href="#">PartyReference</a>  <b>Description:</b> The <a href="#">@href</a> attribute is equal to the <a href="#">@id</a> attribute of an element of type <a href="#">Party</a> .	As described.	Not applicable.  This rule is FpML specific.

## D.2 Custom Validation Rules

### D.2.1 Submitted File Name

These rules are applicable to all uploaded files, both in CSV and FpML formats.

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-file-name-1	Check if the file extension of the uploaded file is either “CSV” or “XML” (case insensitive)	--	--
hktr-file-name-2	Check if the file name is in the following format: treq-<participant id>-<generation date>-<user file reference>.xxx	--	--
hktr-file-name-3	Check if the participant ID in the file name is the same as the participant of the current login user / the participant implied by the submission channel	--	--
hktr-file-name-4	Check if the generation date in the file name is in YYYYMMDD format	--	--
hktr-file-name-5	Check if the user file reference contains 1-30 characters	--	--
hktr-file-name-6	Check if the user reference contains only alphanumeric characters and underscore.	--	--

## D.2.2 File Header and File Content

These rules are applicable to all uploaded files, both in CSV and FpML formats.

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-file-header-1	<b>Context:</b> File header  <b>Description:</b> The <a href="#">message version</a> must be supported by the system. (i.e. FpML - version 5.2, CSV – version 1.0)	<b>File header:</b> RequestDocumentHeader  <b>message version:</b> version	<b>File header:</b> File Level Request  <b>message version:</b> Version
hktr-file-header-2	<b>Context:</b> File header  <b>Description:</b> The file reference from file name should be equal to the <a href="#">file reference in file content</a>	<b>File header:</b> RequestDocumentHeader  <b>file reference in file content:</b> fileReference	<b>File header:</b> File Level Request  <b>file reference in file content:</b> File Reference
hktr-file-header-3	<b>Context:</b> File header  <b>Description:</b> The <a href="#">file reference</a> should not be already used (Note: <a href="#">File reference</a> + <a href="#">submitting party</a> is the key of the record)	<b>File header:</b> RequestDocumentHeader  <b>file reference:</b> fileReference  <b>submitting party:</b> submittingParty	<b>File header:</b> File Level Request  <b>file reference:</b> File Reference  <b>submitting party:</b> Submitting Party (Type) and Submitting Party (ID)
hktr-file-header-5	<b>Context:</b> File header  <b>Description:</b> Number of records found in the submitted file must match the <a href="#">number of items</a> specified in the <a href="#">file header</a> .	<b>File header:</b> RequestDocumentHeader  <b>number of items:</b> numItems	<b>File header:</b> File Level Request  <b>number of items:</b> Number of Trade Event Requests
hktr-file-header-6	<b>Context:</b> Fileheader  <b>Description:</b> When the value “Reporting” is specified in the	<b>File header:</b> RequestDocumentHeader  <b>Purpose field:</b>	<b>File header:</b> File Level Request  <b>Purpose field:</b>



Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	<a href="#">purpose field</a> in <a href="#">file header</a> , check if the reporting service is available in HKTR system.	purpose	Purpose
hktr-file-header-7	<b>Context:</b> <a href="#">File header</a> <b>Description:</b> Check if the <a href="#">number of items</a> specified in the <a href="#">file header</a> is between 1 and 50 (inclusive)	<b>File header:</b> RequestDocumentHeader  <b>number of items:</b> numItems	<b>File header:</b> File Level Request  <b>number of items:</b> Number of Trade Event Requests
hktr-file-header-8	<b>Context:</b> <a href="#">File header</a> <b>Description:</b> Check if the <a href="#">submitting party</a> specified in <a href="#">file header</a> is the same as the implicit identification in the submitting channel.	<b>File header:</b> RequestDocumentHeader  <b>submitting party:</b> submittingParty	<b>File header:</b> File Level Request  <b>submitting party:</b> Submitting Party (Type) and Submitting Party (ID)
hktr-file-header-9	<b>Context:</b> <a href="#">File header</a> <b>Description:</b> Check if the <a href="#">purpose field</a> in <a href="#">file header</a> aligns with the file service (i.e. confirmation / reporting, determined from submission channel) provided.	<b>File header:</b> RequestDocumentHeader  <b>Purpose field:</b> purpose	<b>File header:</b> File Level Request  <b>Purpose field:</b> Purpose
hktr-file-header-10	<b>Context:</b> <a href="#">File header</a> <b>Description:</b> Check if the <a href="#">purpose field</a> in <a href="#">file header</a> is either "Confirmation" or "Reporting".	<b>File header:</b> RequestDocumentHeader  <b>Purpose field:</b> purpose	<b>File header:</b> File Level Request  <b>Purpose field:</b> Purpose
hktr-file-content-1	<b>Context:</b> File Content <b>Description:</b> The file uploaded should not contain characters that are not in the allowable character set.	N/A	N/A
hktr-file-	<b>Context:</b> File Content	N/A	N/A

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
content-2	<b>Description:</b> The file uploaded should not be empty.		

## D.2.3 File Details

### D.2.3.1 FpML Specific Rules - Miscellaneous

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
fpml-shared-18-r	<p><b>Context:</b> <a href="#">Party</a> elements defined in <a href="#">all kinds of request elements</a></p> <p><b>Description:</b> Each <a href="#">party/partyId</a> must be unique. Each <a href="#">party/partyName</a> must be unique.</p>	<p><a href="#">All kinds of request elements:</a> /tr:eventActivityReport /tr:eventActivityReportRetracted</p>	<p>Not applicable.</p> <p>This rule is FpML specific.</p>
hktr-fpml-misc-1-r	<p><b>Context:</b> <a href="#">Trade</a></p> <p><b>Description:</b> <a href="#">product</a> can only be substituted by the <a href="#">swap</a> element or the <a href="#">fxSingleLeg</a> element.</p>	As described.	<p>Not applicable.</p> <p>This rule is FpML specific.</p>
hktr-fpml-misc-2-r	<p><b>Context:</b> <a href="#">RequestDocumentDetails</a></p> <p><b>Description:</b> /tr:eventActivityReport/header/onBehalfOf or /tr:eventActivityReportRetracted/header/onBehalfOf, if present, should be the same as <a href="#">the reporting party in file header</a>.</p>	<p>As described.</p> <p><a href="#">The reporting party in file header:</a> RequestDocumentHeader/reportingParty</p>	<p>Not applicable.</p> <p>This rule is FpML specific.</p>
hktr-fpml-misc-3-r	<p><b>Context:</b> <a href="#">RequestDocumentDetails</a></p> <p><b>Description:</b> /tr:eventActivityReport/header/sentBy or /tr:eventActivityReportRetracted/header/sentBy must be the same as <a href="#">the submitting party in the file header</a>.</p>	<p>As described.</p> <p><a href="#">The submitting party in file header:</a> RequestDocumentHeader/submittingParty</p>	<p>Not applicable.</p> <p>This rule is FpML specific.</p>
hktr-fpml-misc-4-	<p><b>Context:</b> All events defined under <a href="#">Events.model</a></p> <p><b>Description:</b></p>	As described.	<p>Not applicable.</p> <p>This rule is FpML specific.</p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
r	Only event types under the TR namespace are supported. Official FpML event types cannot be used.		
hktr-fpml-misc-5-r	<b>Context:</b> <a href="#">RequestDocumentDetails</a> <b>Description:</b> Check if the file items ( <a href="#">/tr:eventActivityReport</a> , <a href="#">/tr:eventActivityReportRetracted</a> ) comply with the <a href="#">purpose</a> in the <a href="#">file header</a> .	<b>File header:</b> RequestDocumentHeader  <b>message version:</b> purpose	Not applicable.  The rule is FpML specific.
hktr-fpml-misc-6-r	<b>Context:</b> <a href="#">RequestDocumentDetails</a> <b>Description:</b> <a href="#">/tr:eventActivityReport/tr:reportingFor/tr:reportingPartyReference</a> should be equal to the <a href="#">reporting party</a> in <a href="#">file header</a> .	<b>File header:</b> RequestDocumentHeader  <b>reporting party:</b> reportingParty	Not applicable.  The rule is FpML specific.
hktr-fpml-misc-7-r	<b>Context:</b> <a href="#">RequestDocumentDetails</a> <b>Description:</b> Check if the values are present and within the following coding schemes supported by HKTR system. - messageAddressScheme - correlationIdScheme - partyIdScheme - productTypeScheme - tradeIdScheme - eventIdScheme	As described.	Not applicable.  The rule is FpML specific.
hktr-fpml-misc-8-r	<b>Context:</b> <a href="#">RequestDocumentDetails</a> <b>Description:</b> If the request is submitted by agent, <a href="#">&lt;onBehalfOf&gt;</a> tag must exist.	As described.	Not applicable.  This rule is FpML specific.
hktr-	<b>Context:</b> <a href="#">RequestDocumentDetails</a>	As described.	Not applicable.

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
fpml-misc-9-r	<b>Description:</b> If the request is submitted by reporting party itself, <a href="#">&lt;onBehalfOf&gt;</a> tag must not exist.		This rule is FpML specific.
hktr-fpml-misc-10-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a> , <a href="#">Amendment</a>  <b>Description:</b> Check if value of the <a href="#">product ID</a> element does not contain any ' ' character.	<b>Product ID:</b> /trade/swap/productId  Or  /trade/fxSingleLeg/productId	Not applicable.  This rule is FpML specific.
hktr-fpml-misc-11-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a> , <a href="#">Amendment</a>  <b>Description:</b> <a href="#">Product Type</a> must be InterestRateSwap in <swap> element, or FxNonDeliverableForward in <fxSingleLeg> element.	<b>Product Type:</b> /trade/swap/productType/@productTypeScheme = " <a href="http://www.fpml.org/coding-scheme/product-type-simple">http://www.fpml.org/coding-scheme/product-type-simple</a> "  Or  /trade/fxSingleLeg/productType/@productTypeScheme = " <a href="http://www.fpml.org/coding-scheme/product-type-simple">http://www.fpml.org/coding-scheme/product-type-simple</a> "	Not applicable.  This rule is FpML specific.
hktr-fpml-misc-12-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> All trade events  <b>Description:</b> Check the value in "tradeIdScheme" of <a href="#">&lt;tradeId&gt; element</a> to see if it is a valid entry for the specified trade event.	<b>&lt;tradeId&gt; element:</b> /partyTradeIdentifier/tradeId	Not applicable.  This rule is FpML specific.
hktr-fpml-misc-13-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> All trade events  <b>Description:</b>	<b>Correlation ID:</b> /tr:eventActivityReport/correlationId  Or	Not applicable.  This rule is FpML specific.

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	Check if the <a href="#">correlation ID</a> is consistent with the <a href="#">event ID</a> in partyEventInformation element.	/tr:eventActivityReportRetracted/correlationId  <a href="#">Event ID:</a> /tr:partyEventInformation/tr:eventId	
hktr-fpml-misc-14-r	<b>Action:</b> <a href="#">Request</a> <b>Event:</b> All trade events <b>Description:</b> For values in element /tradeHeader/partyTradeInformation/relatedParty, it must adhere to the following rules: <ul style="list-style-type: none"> <li>- Each role should be unique within the partyTradeInformation block.</li> <li>- There can only be one "ClearingService" and "ConfirmationPlatform" in the document.</li> <li>- "PrimeBroker" party and "ExecutingBroker" party should not be referring to the same trade party.</li> <li>- "PrimeBroker" / "ExecutingBroker" parties should be one of the trade parties.</li> </ul>	As described.	Not applicable.  This rule is FpML specific.
hktr-fpml-misc-15-r	<b>Context:</b> All <a href="#">period</a> and <a href="#">periodMultiplier</a> fields <b>Description:</b> The pair of <a href="#">period</a> and <a href="#">periodMultiplier</a> elements under the same parent element must co-exist.	As described.	Not applicable.  This rule is FpML specific.
hktr-fpml-misc-	<b>Action:</b> <a href="#">Request</a> <b>Event:</b> All trade events	<b>TR Trade Reference:</b> /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme=" <a href="http://www.hkicl.com">http://www.hkicl.com</a>	Not applicable.  This rule is FpML specific.

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
16-r	<p><b>Description:</b>  Check if the <a href="#">TR trade reference</a>, <a href="#">CP trade reference</a>, <a href="#">UTI</a>, <a href="#">Sub-UTI</a> and <a href="#">Prior-UTI</a> values are consistent across different <code>&lt;partyTradeIdentifier&gt;</code> elements.</p>	<p><a href="#">.hk/scheme/hktr/trade-ref"</a></p> <p><b>CP Trade Reference:</b>  <trade #"="" @tradeidscheme="&lt;a href=" partytradeidentifier="" tradeheader="" tradeid="">http://www.hkicl.com.hk/scheme/confirmation-platform/trade-ref"</trade></p> <p>Or</p> <p>trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="<a href="#">http://www.hkicl.com.hk/scheme/confirmation-platform/new-trade-ref</a>"</p> <p><b>UTI:</b>  partyTradeIdentifier/tradeId/@tradeIdScheme="<a href="#">http://www.fpml.org/coding-scheme/external/unique-transaction-identifier</a>"</p> <p>Or</p> <p>partyTradeIdentifier/tradeId/@tradeIdScheme="<a href="#">http://www.hkicl.com.hk/scheme/new-unique-transaction-identifier</a>"</p> <p><b>Sub-UTI:</b>  partyTradeIdentifier/tradeId/@tradeIdScheme="<a href="#">http://www.hkicl.com.hk/scheme/sub-unique-transaction-identifier</a>"</p> <p>Or</p> <p>partyTradeIdentifier/tradeId/@tradeIdScheme="<a href="#">http://www.hkicl.com.hk/scheme/new-sub-unique-transaction-identifier</a>"</p>	

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
		<p><b>Prior-UTI:</b>  /partiesTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/prior-unique-transaction-identifier"</p> <p>Or</p> <p>/partiesTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/new-prior-unique-transaction-identifier"</p>	
hktr-fpml-misc-18-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> All trade events</p> <p><b>Description:</b>  Check if the <a href="#">user trade reference</a>, <a href="#">agent trade reference</a> values are consistent for the same referenced party across different <a href="#">partyTradeIdentifier</a> elements.</p>	<p><b>User Trade Reference:</b>  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/user-trade-ref"</p> <p>Or</p> <p>/trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/new-user-trade-ref"</p> <p><b>Agent Trade Reference:</b>  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/agent-trade-ref"</p> <p>Or</p> <p>/trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/new-agent-trade-ref"</p>	<p>Not applicable.</p> <p>This rule is FpML specific.</p>
hktr-fpml-	<p><b>Context:</b> Swap</p>	As described.	Not applicable.



Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
ird-1-r	<b>Description:</b> There must be 2 and only 2 <code>swapStream</code> elements.		This rule is FpML specific.
hktr-fpml-ird-2-r	<b>Context:</b> <code>Swap</code>  <b>Description:</b> If <code>productType</code> is "IrsFloatingVsFixed" or "OvernightIndexSwap", then there must be 1 fixed-leg and 1 floating-leg.  Fixed leg / Floating leg can be identified by: <ul style="list-style-type: none"> <li>Fixed Leg:  <code>/swapStream/calculationPeriodAmount/calculation/fixedRateSchedule</code> element exists.</li> <li>Floating Leg:  <code>/swapStream/calculationPeriodAmount/calculation/floatingRateCalculation</code> element exists.</li> </ul>	As described.	Not applicable.  This rule is FpML specific.
hktr-fpml-ird-3-r	<b>Context:</b> <code>Swap</code>  <b>Description:</b> If <code>productType</code> is "Basis Swap", then there must be 2 floating-legs.  Floating leg can be identified by: <ul style="list-style-type: none"> <li>Floating Leg:  <code>/swapStream/calculationPeriodAmount/calculation/floatingRateCalculation</code> element exists.</li> </ul>	As described.	Not applicable.  This rule is FpML specific.
hktr-fpml-ird-4-r	<b>Context:</b> <code>Swap</code>  <b>Description:</b> <code>/swapStream/calculationPeriodAmount/calculation/rateCalculation</code> can only be	As described.	Not applicable.  This rule is FpML specific.

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	substituted by <code>floatingRateCalculation</code> .		
hktr-fpml-ird-5-r	<p><b>Context:</b> <code>Swap</code></p> <p><b>Description:</b>  If <code>productType</code> is "IrsFloatingVsFixed" or "OvernightIndexSwap", for its fixed leg(s), the existence of the following elements are not allowed:</p> <ul style="list-style-type: none"> <li>• <code>/swapStream/resetDates</code></li> <li>• <code>/swapStream/stubCalculationPeriodAmount/initialStub/floatingRate</code></li> <li>• <code>/swapStream/stubCalculationPeriodAmount/initialStub/stubRate</code></li> <li>• <code>/swapStream/stubCalculationPeriodAmount/finalStub/floatingRate</code></li> <li>• <code>/swapStream/stubCalculationPeriodAmount/finalStub/stubRate</code></li> </ul>	As described.	<p>Not applicable.</p> <p>This rule is FpML specific.</p>
hktr-fpml-ird-6-r	<p><b>Context:</b> <code>Trade</code></p> <p><b>Description:</b>  Every <code>PartyReference</code> in elements of <code>PartyTradeInformation</code> list should be unique.</p>	As described.	<p>Not applicable.</p> <p>This rule is FpML specific.</p>
hktr-fpml-ird-7-r	<p><b>Context:</b> <code>Trade</code></p> <p><b>Description:</b>  If <code>productType</code> is "IrsFloatingVsFixed", "OvernightIndexSwap" or "BasisSwap", the existence of the following elements are not allowed:</p> <ul style="list-style-type: none"> <li>• <code>/swapStream/calculationPeriodAmount/calculation/notionalSchedule/notionalStepSchedule/step</code></li> <li>• <code>/swapStream/calculationPeriodAmount/calculation/fixedRateSchedule/step</code></li> </ul>	As described.	<p>Not applicable.</p> <p>This rule is FpML specific.</p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	<ul style="list-style-type: none"> <li>/swapStream/calculationPeriodAmount/calculation/floatingRateCalculation/spreadSchedule/step</li> </ul>		
hktr-fpml-ird-8-r	<p><b>Context:</b> Interest Rate Swap</p> <p><b>Description:</b>  The <a href="#">Notional Amount/Currency</a> in the two legs of the swap must be the same.</p>	<p><b>Interest Rate Swap:</b>  Swap</p> <p><b>Notional Amount/Currency:</b>  /swapStream/calculationPeriodAmount/calculation/notionalSchedule/notionalStepSchedule/initialValue</p> <p>/swapStream/calculationPeriodAmount/calculation/notionalSchedule/notionalStepSchedule/currency</p>	<p>Not applicable.</p> <p>This rule is FpML specific.</p>
hktr-fpml-ird-9-r	<p><b>Event:</b> New Trade, Backloading, Amendment</p> <p><b>Description:</b>  The <a href="#">tradeParty1</a> of the event must be equal to one of the trading parties.</p> <p>For <a href="#">tradeParty2</a>, it must also be one of the trading parties, and it should not be equal to <a href="#">tradeParty1</a>. (i.e. it must be the counterparty of the tradeParty1).</p>	<p><b>Trade Party 1:</b>  /tr:tradeParty1</p> <p><b>Trade Party 2:</b>  /tr:tradeParty2</p>	<p>Not applicable.</p> <p>This rule is FpML specific.</p>

### D.2.3.2 FpML and CSV common rules - General

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-gen-req-1-r	<b>Context:</b> <a href="#">Request message</a> <b>Description:</b> <a href="#">Request ID</a> of individual request should not be empty.	<b>Request message:</b> EventActivityReport EventActivityReportRetracted  <b>Request ID:</b> header/messageId	<b>Request message:</b> Trade Event Request  <b>Request ID:</b> Event Request ID
hktr-gen-req-2-r	<b>Context:</b> <a href="#">Request message</a> <b>Description:</b> <a href="#">Request ID</a> of individual request should not be longer than 40 characters.	<b>Request message:</b> EventActivityReport EventActivityReportRetracted  <b>Request ID:</b> header/messageId	<b>Request message:</b> Trade Event Request  <b>Request ID:</b> Event Request ID
hktr-gen-req-3-r	<b>Context:</b> <a href="#">Request message</a> <b>Description:</b> <a href="#">Request ID</a> of individual request should be unique within the submitting party under the reporting view.	<b>Request message:</b> EventActivityReport EventActivityReportRetracted  <b>Request ID:</b> header/messageId	<b>Request message:</b> Trade Event Request  <b>Request ID:</b> Event Request ID
hktr-gen-req-4-r	<b>Context:</b> All elements / all values within FpML / CSV <b>Description:</b> All values in FpML / CSV are validated against their type, length, character set, and permissible values (in case if it is bounded by coding schemes / enumerated values / number ranges)	As described	As described
hktr-flt-fmt-1-r	<b>Action:</b> <a href="#">Request</a> <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a> , <a href="#">Amendment</a>	<b>UTI:</b> /partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.fpml.org/coding-	<b>UTI:</b> Trade Header

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	<p><b>Description:</b>  Check trade <a href="#">UTI</a> / <a href="#">Sub-UTI</a> / <a href="#">Prior-UTI</a> (if exists) for the following:</p> <ol style="list-style-type: none"> <li>1. Format check (contains one “ ” character)</li> <li>2. Field existence check (all the tokens within the values should be non-empty)</li> <li>3. Field length check (check the field length of each individual token)</li> </ol>	<p><a href="#">scheme/external/unique-transaction-identifier”</a></p> <p>Or</p> <p><a href="#">/partyTradeIdentifier/tradeId/@tradeIdScheme=”http://www.hkicl.com.hk/scheme/new-unique-transaction-identifier”</a></p> <p><a href="#">Sub-UTI:</a>  <a href="#">/partyTradeIdentifier/tradeId/@tradeIdScheme=”http://www.hkicl.com.hk/scheme/sub-unique-transaction-identifier”</a></p> <p>Or</p> <p><a href="#">/partyTradeIdentifier/tradeId/@tradeIdScheme=”http://www.hkicl.com.hk/scheme/new-sub-unique-transaction-identifier”</a></p> <p><a href="#">Prior-UTI:</a>  <a href="#">/partyTradeIdentifier/tradeId/@tradeIdScheme=”http://www.hkicl.com.hk/scheme/prior-unique-transaction-identifier”</a></p> <p>Or</p> <p><a href="#">/partyTradeIdentifier/tradeId/@tradeIdScheme=”http://www.hkicl.com.hk/scheme/new-prior-unique-transaction-identifier”</a></p>	<p><a href="#">Sub-UTI:</a>  Trade Header</p> <p><a href="#">Prior-UTI:</a>  Trade Header</p>
hktr-fld-fmt-2-r	<p><b>Action:</b> <a href="#">Request</a></p> <p><b>Event:</b> <a href="#">New Trade</a>, <a href="#">Backloading</a>, <a href="#">Amendment</a></p>	<p><a href="#">UPI:</a>  <a href="#">/trade/swap/productId</a></p> <p>Or</p>	<p><a href="#">UPI :</a>  Trade Header</p> <p><a href="#">Product ID type:</a></p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	<b>Description:</b> Check trade UPI (if exists) for the following: <ol style="list-style-type: none"> <li>1. Format check (contains one “ ” character) (CSV format only)</li> <li>2. Field existence check (all the tokens within the values should be non-empty)</li> <li>3. Field length check (check the field length of each individual tokens)</li> <li>4. Coding scheme check (the product ID type should be checked against their coding schemes)</li> </ol>	/trade/fxSingleLeg/productId  <b>Product ID type:</b> productId/@productIdScheme	Product ID type within the UPI field value.
hktr-gen-busi-3-r	<b>Action:</b> Request <b>Event:</b> New Trade, Backloading, Amendment <b>Description:</b> User Trade Reference must be unique within the reporting view (except the status of the trade is withdrawn/quit/terminated) for the Reporting Party.	<b>User Trade Reference:</b> /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme= <a href="http://www.hkicl.com.hk/scheme/hktr/user-trade-ref">"http://www.hkicl.com.hk/scheme/hktr/user-trade-ref"</a> Or /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme= <a href="http://www.hkicl.com.hk/scheme/hktr/new-user-trade-ref">"http://www.hkicl.com.hk/scheme/hktr/new-user-trade-ref"</a> <b>Reporting Party:</b> /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:reportingParty	<b>User Trade Reference:</b> Trade Header <b>Reporting Party:</b> Reporting Party (Type), and Reporting Party (ID) – File Level Request
hktr-gen-busi-4-r	<b>Action:</b> Request <b>Event:</b> New Trade, Backloading, Amendment <b>Description:</b> UTI must be unique for the reporting party within the reporting view (except the status of the trade is withdrawn/quit/terminated).	<b>UTI:</b> /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme= <a href="http://www.fpml.org/coding-scheme/external/unique-transaction-identifier">"http://www.fpml.org/coding-scheme/external/unique-transaction-identifier"</a> Or /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme= <a href="http://www.hkicl.com.hk/scheme/hktr/new-unique-transaction-identifier">"http://www.hkicl.com.hk/scheme/hktr/new-unique-transaction-identifier"</a>	<b>UTI:</b> Trade Header

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-gen-busi-5-r	<p><b>Action:</b> <a href="#">Request</a></p> <p><b>Event:</b> <a href="#">All</a></p> <p><b>Description:</b>  <a href="#">User Event Reference</a> must be unique (except the status of the trade event is cancelled) for the <a href="#">Reporting Party</a>.</p>	<p><a href="#">User Event Reference:</a>  /tr:eventActivityReport/correlationId/@correlationIdScheme="<a href="http://www.hkicl.com.hk/scheme/hktr/user-event-ref">http://www.hkicl.com.hk/scheme/hktr/user-event-ref</a>"</p> <p>Or</p> <p>/tr:partyEventInformation/tr:eventId/@eventIdScheme="<a href="http://www.hkicl.com.hk/scheme/hktr/user-event-ref">http://www.hkicl.com.hk/scheme/hktr/user-event-ref</a>"</p> <p><a href="#">Reporting Party:</a>  /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:reportingParty</p>	<p><a href="#">User Event Reference:</a>  Trade Event – General Block</p> <p><a href="#">Reporting Party:</a>  Reporting Party (Type), and Reporting Party (ID) – File Level Request</p>
hktr-gen-busi-6-r	<p><b>Action:</b> <a href="#">Request</a></p> <p><b>Event:</b> <a href="#">All</a></p> <p><b>Description:</b>  <a href="#">Agent Event Reference</a> must be unique (except the status of the trade event is cancelled) for the <a href="#">agent</a>.</p>	<p><a href="#">Agent Event Reference:</a>  /tr:eventActivityReport/correlationId/@correlationIdScheme="<a href="http://www.hkicl.com.hk/scheme/hktr/agent-event-ref">http://www.hkicl.com.hk/scheme/hktr/agent-event-ref</a>"</p> <p>Or</p> <p>/tr:partyEventInformation/tr:eventId/@eventIdScheme="<a href="http://www.hkicl.com.hk/scheme/hktr/agent-event-ref">http://www.hkicl.com.hk/scheme/hktr/agent-event-ref</a>"</p> <p><a href="#">agent:</a>  /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:submittingParty</p>	<p><a href="#">Agent Event Reference:</a>  Trade Event – General Block</p> <p><a href="#">agent:</a>  Submitting Party (Type), and Submitting Party (ID) – File Level Request</p>
hktr-gen-busi-7-r	<p><b>Action:</b> <a href="#">Request</a></p> <p><b>Event:</b> <a href="#">New Trade, Backloading, Amendment</a></p> <p><b>Description:</b></p>	<p><a href="#">Agent Trade Reference:</a>  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="<a href="http://www.hkicl.com.hk/scheme/hktr/agent-trade-ref">http://www.hkicl.com.hk/scheme/hktr/agent-trade-ref</a>"</p>	<p><a href="#">Agent Trade Reference:</a>  Trade Header</p> <p><a href="#">agent:</a>  Submitting Party (Type), and Submitting Party (ID)</p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	<a href="#">Agent Trade Reference</a> must be unique within the reporting view (except the status of the trade is withdrawn/quit/terminated) for the <a href="#">agent</a> .	Or  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme=" <a href="http://www.hkicl.com.hk/scheme/hktr/new-agent-trade-ref">http://www.hkicl.com.hk/scheme/hktr/new-agent-trade-ref</a> "  <a href="#">agent</a> : /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:submittingParty	- File Level Request
hktr-gen-busi-10-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">All</a>  <b>Description:</b> <a href="#">Agent Event Reference</a> is required for the <a href="#">agent</a> .	<a href="#">Agent Event Reference</a> : /tr:eventActivityReport/correlationId/@correlationIdScheme=" <a href="http://www.hkicl.com.hk/scheme/hktr/agent-event-ref">http://www.hkicl.com.hk/scheme/hktr/agent-event-ref</a> "  Or  /tr:partyEventInformation/tr:eventId/@eventIdScheme=" <a href="http://www.hkicl.com.hk/scheme/hktr/agent-event-ref">http://www.hkicl.com.hk/scheme/hktr/agent-event-ref</a> "  <a href="#">agent</a> : /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:submittingParty	<a href="#">Agent Event Reference</a> : Trade Event – General Block  <a href="#">agent</a> : Submitting Party (Type), and Submitting Party (ID) - File Level Request
hktr-gen-busi-11-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">All</a>  <b>Description:</b> <a href="#">User Event Reference</a> is required for the <a href="#">Reporting Party</a> .	<a href="#">User Event Reference</a> : /tr:eventActivityReport/correlationId/@correlationIdScheme=" <a href="http://www.hkicl.com.hk/scheme/hktr/user-event-ref">http://www.hkicl.com.hk/scheme/hktr/user-event-ref</a> "  Or  /tr:partyEventInformation/tr:eventId/@eventIdScheme=" <a href="http://www.hkicl.com.hk/scheme/hktr/user-event-ref">http://www.hkicl.com.hk/scheme/hktr/user-event-ref</a> "  <a href="#">Reporting Party</a> :	<a href="#">User Event Reference</a> : Trade Event – General Block  <a href="#">Reporting Party</a> : Reporting Party (Type), and Reporting Party (ID) – File Level Request



Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
		/trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:reportingParty	
hktr-gen-busi-12-r	<b>Action:</b> Request <b>Event:</b> New Trade, Backloading, Amendment <b>Description:</b> Agent Trade Reference is required for the agent.	<b>Agent Trade Reference:</b> /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/agent-trade-ref" Or /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/new-agent-trade-ref"  <b>agent:</b> /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:submittingParty	<b>Agent Trade Reference:</b> Trade Header  <b>agent:</b> Submitting Party (Type), and Submitting Party (ID) – File Level Request
hktr-gen-busi-14-r	<b>Action:</b> Request <b>Event:</b> New Trade, Backloading, Amendment <b>Description:</b> Agent Trade Reference of Trade Header is not allowed for the Reporting Party.	<b>Agent Trade Reference:</b> /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/agent-trade-ref" Or /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/new-agent-trade-ref"  <b>Reporting Party:</b> /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:reportingParty	<b>Agent Trade Reference:</b> Trade Header  <b>Reporting Party:</b> Reporting Party (Type), and Reporting Party (ID) – File Level Request
hktr-gen-busi-16-r	<b>Action:</b> Request <b>Event:</b> All <b>Description:</b>		

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	The type of party must be a valid value defined in the HKTR-R service.		
hktr-gen-busi-19-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> New Trade, Backloading, Amendment</p> <p><b>Description:</b>  The <b>Product Type</b> specified must belong to the <b>Asset Class</b> specified. The <b>Product Sub-type</b> specified must belong to the <b>Product Type</b> specified.</p>	<p><b>Asset Class:</b>  /trade/swap/assetClass</p> <p>Or</p> <p>/trade/fxSingleLeg/assetClass</p> <p><b>Product Type:</b>  /trade/swap/productType/@productTypeScheme="http://www.fpml.org/coding-scheme/product-type-simple"</p> <p>Or</p> <p>/trade/fxSingleLeg/productType/@productTypeScheme="http://www.fpml.org/coding-scheme/product-type-simple"</p> <p><b>Product Sub-type:</b>  /trade/swap/productType/@productTypeScheme="http://www.hkicl.com.hk/scheme/hktr/product-sub-type"</p> <p>Or</p> <p>/trade/fxSingleLeg/productType/@productTypeScheme="http://www.hkicl.com.hk/scheme/hktr/product-sub-type"</p>	<p><b>Asset Class:</b>  Trade Header</p> <p><b>Product Type:</b>  Trade Event Request</p> <p><b>Product Sub-Type:</b>  Trade Event Request</p>
hktr-gen-busi-20-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> New Trade, Backloading, Amendment</p> <p><b>Description:</b>  The combination of <b>Confirmation Platform ID</b> and</p>	<p><b>Confirmation Platform ID:</b>  /trade/tradeHeader/partyTradeInformation/relatedParty/partyReference</p> <p>with coding scheme of role equals to ConfirmationPlatform</p>	<p><b>Confirmation Platform ID:</b>  Trade Header</p> <p><b>CP Trade Reference :</b>  Trade Header</p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	<p><a href="#">CP Trade Reference</a> must be unique for the reporting party within the reporting view (except the status of the trade is withdrawn/quit/terminated).</p>	<p><a href="#">CP Trade Reference</a>:  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/confirmation-platform/trade-ref"</p> <p>Or</p> <p>/trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/confirmation-platform/new-trade-ref"</p>	
hktr-gen-busi-23-r	<p><b>Action:</b> All</p> <p><b>Event:</b> All</p> <p><b>Description:</b>  <a href="#">Event Request ID</a> must be unique within the reporting view for the Submitting Party.</p>	<p><a href="#">Event Request ID</a>:  header/messageId</p>	<p><a href="#">Event Request ID</a>:  Trade Event Request</p>
hktr-gen-busi-24-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> Amendment, Full Termination, Partial Termination, Quit, Withdrawal</p> <p><b>Description:</b>  <a href="#">Submitting Party</a> must be eligible to submit a trade event for the <a href="#">Reporting Party</a>.</p>	<p><a href="#">Submitting Party</a>:  /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:submittingParty</p> <p><a href="#">Reporting Party</a>:  /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:reportingParty</p>	<p><a href="#">Submitting Party</a>:  Submitting Party (Type), and Submitting Party (ID) – File Level Request</p> <p><a href="#">Reporting Party</a>:  Reporting Party (Type), and Reporting Party (ID) – File Level Request</p>
hktr-gen-busi-27-r	<p><b>Action:</b> All</p> <p><b>Event:</b> All</p> <p><b>Description:</b>  The <a href="#">agent</a> is not allowed to submit trade event on behalf of the <a href="#">participant</a> for this product sub-type via this channel.  Also, non-trading participant agent is not allowed to</p>	<p><a href="#">agent</a>:  /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:submittingParty</p> <p><a href="#">participant</a>:  /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:reportingParty</p>	<p><a href="#">agent</a>:  Submitting Party (Type), and Submitting Party (ID) – File Level Request</p> <p><a href="#">participant</a>:  Reporting Party (Type), and Reporting Party (ID) – File Level Request</p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	submit trade event on behalf of itself.		
hktr-gen-busi-28-r	<b>Action:</b> <a href="#">Request</a> <b>Event:</b> <a href="#">All</a> <b>Description:</b> If the party type is TREntityID, the party must be a valid TR participant or business entity.		
hktr-gen-busi-29-r	<b>Action:</b> <a href="#">Request</a> <b>Event:</b> <a href="#">All</a> <b>Description:</b> Party name must be provided except masked party.		
hktr-gen-busi-31-r	<b>Action:</b> <a href="#">Request</a> <b>Event:</b> <a href="#">Amendment, Full Termination, Partial Termination, Quit, Withdrawal</a> <b>Description:</b> For the post trade events submitted by <a href="#">reporting party</a> , either one of the following trade references can be used to correlate the post trade event to the target trade. <a href="#">TR Trade Reference</a> , <a href="#">User Trade Reference</a> and <a href="#">UTI</a>	<b>TR Trade Reference:</b> /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/trade-ref"  <b>User Trade Reference:</b> /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/user-trade-ref"  <b>UTI:</b> /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.fpml.org/coding-scheme/external/unique-transaction-identifier"  <b>reporting party:</b> /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:reportingParty	<b>TR Trade Reference:</b> Trade Event – Event Block  <b>User Trade Reference:</b> Trade Event – Event Block  <b>UTI:</b> Trade Event – Event Block  <b>reporting party:</b> Reporting Party (Type), and Reporting Party (ID) – File Level Request
hktr-	<b>Action:</b> <a href="#">Request</a>	<a href="#">Trade Party 1:</a>	<a href="#">Trade Party 1:</a>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
gen-busi-38-r	<b>Event:</b> <a href="#">New Trade, Backloading, Amendment</a>  <b>Description:</b> The party type and ID of the <a href="#">Trade Party 1</a> and <a href="#">Trade Party 2</a> in the trade header must be same as the trade parties in the trade details.	<tr:tradeparty1 </tr:tradeparty1  <a href="#">Trade Party 2:</a> /tr:tradeParty2	Trade Party 1 > Type, ID – Trade Header  <a href="#">Trade Party 2:</a> Trade Party 2 > Type, ID – Trade Header
hktr-gen-busi-39-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">All</a>  <b>Description:</b> <a href="#">Reporting For</a> must not be masked party.	<a href="#">Reporting For:</a> /tr:eventActivityReport/tr:reportingFor	<a href="#">Reporting For:</a> Trade Event Request
hktr-gen-busi-40-r	<b>Action:</b> <a href="#">Cancel</a>  <b>Event:</b> <a href="#">Relink</a>  <b>Description:</b> Agent is not allowed to cancel the event which is submitted by reporting party.		
hktr-gen-busi-41-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Relink</a>  <b>Description:</b> <a href="#">Submitting Party</a> must be eligible to submit a Relink event for the <a href="#">Reporting Party</a> .	<a href="#">Submitting Party:</a> /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:submittingParty  <a href="#">Reporting Party:</a> /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:reportingParty	<a href="#">Submitting Party:</a> Submitting Party (Type), and Submitting Party (ID) – File Level Request  <a href="#">Reporting Party:</a> Reporting Party (Type), and Reporting Party (ID) – File Level Request
hktr-gen-busi-46-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">All</a>  <b>Description:</b> The Party Name should be consistent for a certain		

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	combination of Party Type and Party ID.		
hktr-gen-busi-48-r	<p><b>Action:</b> <a href="#">Request</a></p> <p><b>Event:</b> <a href="#">Amendment</a>, <a href="#">Full Termination</a>, <a href="#">Partial Termination</a>, <a href="#">Quit</a>, <a href="#">Withdrawal</a></p> <p><b>Description:</b>  For the post trade events submitted by <a href="#">agent</a>, either one of the following trade references can be used to correlate the post trade event to the target trade.  <a href="#">TR Trade Reference</a>, <a href="#">Agent Trade Reference</a>, <a href="#">User Trade Reference</a> and <a href="#">UTI</a></p>	<p><b>TR Trade Reference:</b>  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/trade-ref"</p> <p><b>Agent Trade Reference:</b>  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/agent-trade-ref"</p> <p><b>User Trade Reference:</b>  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/user-trade-ref"</p> <p><b>UTI:</b>  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.fpml.org/coding-scheme/external/unique-transaction-identifier"</p> <p><b>agent:</b>  /trdoc:tradeEventRequestDocument/trdoc:requestDocumentHeader/trdoc:submittingParty</p>	<p><b>TR Trade Reference:</b>  Trade Event – Event Block</p> <p><b>Agent Trade Reference:</b>  Trade Event – Event Block</p> <p><b>User Trade Reference:</b>  Trade Event – Event Block</p> <p><b>UTI:</b>  Trade Event – Event Block</p> <p><b>agent:</b>  Submitting Party (Type), and Submitting Party (ID) – File Level Request</p>

### D.2.3.3 FpML and CSV common rules - Events

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-event-busi-1-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> Amendment, Full Termination, Partial Termination</p> <p><b>Description:</b> The <a href="#">target trade</a> for the trade event must exist and the status is active, matured or quitted by the system.</p>	<p><a href="#">target trade:</a> Trade or TradeIdentifier</p>	<p><a href="#">target trade:</a> Trade Reference – Event Block Agent Trade Reference – Event Block User Trade Reference – Event Block Unique Transaction Identifier (UTI) – Event Block</p>
hktr-event-busi-8-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> Amendment, Full Termination, Partial Termination</p> <p><b>Description:</b> The <a href="#">Event Date</a> of the post trade event must be equal to or later than the <a href="#">Event Date</a> of the last processed event.</p>	<p><a href="#">Event Date:</a> /agreementDate</p>	<p><a href="#">Event Date:</a> Agreement Date – Event Block</p>
hktr-event-busi-10-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> All</p> <p><b>Description:</b> The <a href="#">Event Type</a> and <a href="#">Product Sub-Type</a> must be a valid combination.</p>	<p><a href="#">Event Type:</a> /Events.model</p> <p><a href="#">Product Sub-Type:</a> For IR, /trade/swap/productType</p> <p>For FX, /trade/fxSingleLeg/productType</p>	<p><a href="#">Event Type:</a> Trade Event Request</p> <p><a href="#">Product Sub-Type:</a> Trade Event Request</p>
hktr-event-busi-11-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> Amendment</p> <p><b>Description:</b></p>	<p><a href="#">Asset Class:</a> /trade/swap/assetClass</p> <p>Or</p>	<p><a href="#">Asset Class:</a> Trade Header</p> <p><a href="#">Product Type:</a> Trade Event Request</p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	The <a href="#">Asset Class</a> , <a href="#">Product Type</a> and <a href="#">Product Sub-type</a> in the Amendment event must be the same as the original trade.	<trade assetclass<br="" fxsingleleg=""></trade> <b>Product Type:</b> <trade @producttypescheme="&lt;a" href="http://www.fpml.org/coding-scheme/product-type-simple" producttype="" swap="">"http://www.fpml.org/coding-scheme/product-type-simple"   Or   <trade @producttypescheme="&lt;a" fxsingleleg="" href="http://www.fpml.org/coding-scheme/product-type-simple" producttype="">"http://www.fpml.org/coding-scheme/product-type-simple"   <b>Product Sub-type:</b>  <trade @producttypescheme="&lt;a" href="http://www.hkicl.com.hk/scheme/hktr/product-sub-type" producttype="" swap="">"http://www.hkicl.com.hk/scheme/hktr/product-sub-type"   Or   <trade @producttypescheme="&lt;a" fxsingleleg="" href="http://www.hkicl.com.hk/scheme/hktr/product-sub-type" producttype="">"http://www.hkicl.com.hk/scheme/hktr/product-sub-type" </trade></trade></trade></trade>	<a href="#">Product Sub-type:</a> Trade Event Request
hktr-event-busi-12-r	<b>Action:</b> <a href="#">Cancel</a>  <b>Event:</b> <a href="#">Relink</a>  <b>Description:</b> The trade event can be cancelled only when the trade event exists and the status is "Unmatched".		
hktr-event-busi-13-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Partial Termination</a>  <b>Description:</b> The <a href="#">Change in Notional Amount</a> must be smaller than the current notional amount of the trade.	<b>Change in Notional Amount:</b> /changeInNotionalAmount	<a href="#">Change in Notional Amount :</a> Event Block



Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-event-busi-14-r	<b>Action:</b> Request <b>Event:</b> Full Termination , Partial Termination <b>Description:</b> The sum of the <a href="#">change in notional amount</a> and the <a href="#">outstanding notional amount</a> should be equal to the current notional amount.	<a href="#">Change in Notional Amount:</a> /changeInNotionalAmount/amount  <a href="#">Outstanding notional amount:</a> /outstandingNotionalAmount/amount	<a href="#">Change in Notional Amount :</a> Event Block  <a href="#">Outstanding Notional Amount :</a> Event Block
hktr-event-busi-35-r	<b>Action:</b> Request <b>Event:</b> Amendment, Full Termination, Partial Termination <b>Description:</b> The <a href="#">Effective Date</a> must be equal to / after the <a href="#">Agreement Date</a> .	<a href="#">Effective Date:</a> /effectiveDate  <a href="#">Agreement Date:</a> /agreementDate	<a href="#">Effective Date:</a> Event Block  <a href="#">Agreement Date:</a> Event Block
hktr-event-busi-37-r	<b>Action:</b> Request <b>Event:</b> Amendment <b>Description:</b> The <a href="#">Trade Date</a> is not allowed to be modified.	<a href="#">Trade Date:</a> /trade/tradeHeader/tradeDate	<a href="#">Trade Date:</a> Trade Header
hktr-event-busi-39-r	<b>Action:</b> Request <b>Event:</b> Amendment <b>Description:</b> The <a href="#">notional currency (for IR) or exchanged currency (for FX)</a> is not allowed to modify.	<a href="#">notional currency (for IR) or exchanged currency (for FX):</a> IR Swap Product: /trade/swap/swapStream/calculationPeriodAmount/calculation/notionalSchedule/notionalStepSchedule/currency  Fx Non-Deliverable Forward: /trade/fxSingleLeg/exchangedCurrency1/paymentAmount/currency  /trade/fxSingleLeg/exchangedCurrency2/paymentAmount/currency	<a href="#">notional currency (for IR) or exchanged currency (for FX):</a> IR Notional Amount Currency - General Trade Details Block  FX Exchanged Currency 1 - Payment Amount – Fx Single Leg Block Exchanged Currency 2 - Payment Amount – Fx Single Leg Block

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-event-busi-49-r	<b>Action:</b> Request  <b>Event:</b> Full Termination  <b>Description:</b> For Full Termination, Outstanding Notional Amount must be zero.	Outstanding Notional Amount: /outstandingNotionalAmount/amount	Outstanding Notional Amount: Event Block
hktr-event-busi-56-r	<b>Action:</b> Request  <b>Event:</b> Relink  <b>Description:</b> The related trade(s) for Relink must exist and the status is/are not withdrawn.		
hktr-event-busi-67-r	<b>Action:</b> Request  <b>Event:</b> New Trade, Backloading  <b>Description:</b> Participant is not allowed to submit the trade event with event date outside the latest Reporting Obligation period.	event date: For New Trade, /trade/tradeHeader/tradeDate  For Backloading, /tr:backloadingDate	event date: For New Trade, Trade Date – Trade Header  For Backloading, Backloading Date – Event Block
hktr-event-busi-72-r	<b>Action:</b> Request  <b>Event:</b> Relink  <b>Description:</b> The trades of Relink From and Relink To must not be currently linking to each other.	Relink From: /tr:relinkFrom  Relink To: /tr:relinkTo	Relink From: Event Block  Relink To: Event Block
hktr-event-busi-73-r	<b>Action:</b> Request  <b>Event:</b> Relink	Relink From: /tr:relinkFrom  Relink To:	Relink From: Event Block  Relink To:

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	<b>Description:</b> <a href="#">Relink From</a> and <a href="#">Relink To</a> must not be the same.	/tr:relinkTo	Event Block
hktr-event-busi-81-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Backloading</a>  <b>Description:</b> The <a href="#">Backloading Date</a> should be equal to or after the <a href="#">Trade Date</a> .	<b>Backloading Date:</b> /tr:backloadingDate  <b>Trade Date:</b> /trade/tradeHeader/tradeDate	<b>Backloading Date:</b> Event Block  <b>Trade Date:</b> Trade Header
hktr-event-busi-82-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Backloading</a>  <b>Description:</b> The <a href="#">Backloading Date</a> must not be a future date.	<b>Backloading Date:</b> /tr:backloadingDate	<b>Backloading Date:</b> Event Block
hktr-event-busi-83-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a>  <b>Description:</b> The <a href="#">Trade Date</a> must not be a future date.	<b>Trade Date:</b> /trade/tradeHeader/tradeDate	<b>Trade Date:</b> Trade Header
hktr-event-busi-84-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Backloading</a>  <b>Description:</b> The <a href="#">Backloading Date</a> must be equal to or before the <a href="#">Termination Date</a> (for IR) or <a href="#">Value Date</a> (for FX).	<b>Backloading Date:</b> /tr:backloadingDate  <b>Termination Date:</b> /trade/swap/swapStream/calculationPeriodDates/terminationDate/unadjustedDate  <b>Value Date:</b> /trade/fxSingleLeg/valueDate	<b>Backloading Date:</b> Event Block  <b>Termination Date:</b> Calculation Period Dates Block  <b>Value Date:</b> FX Single Leg Block
hktr-event-busi-89-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Full Termination</a> , <a href="#">Partial Termination</a>  <b>Description:</b> The <a href="#">currencies of Change in Notional Amount and Outstanding Notional Amount</a> must match with the	<b>currencies of Change in Notional Amount and Outstanding Notional Amount:</b> /changeInNotionalAmount/currency /outstandingNotionalAmount/currency  <b>trade currency:</b> For IR,	<b>currencies of Change in Notional Amount and Outstanding Notional Amount:</b> Change in Notional Currency -Event Block Outstanding Notional Currency -Event Block  <b>trade currency:</b> For IR,

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	trade currency of the original trade.	/trade/swap/swapStream/calculationPeriodAmount/calculation/notionalSchedule/notionalStepSchedule/currency  For FX, /trade/fxSingleLeg/exchangedCurrency1/paymentAmount/currency /trade/fxSingleLeg/exchangedCurrency2/paymentAmount/currency	Notional Amount > Currency - General Trade Details Block  For FX, Exchanged Currency 1 - Payment Amount > Currency - Fx Single Leg Block Exchanged Currency 2 - Payment Amount > Currency - Fx Single Leg Block
hktr-event-busi-91-r	<b>Action:</b> Request  <b>Event:</b> New Trade  <b>Description:</b> The Trade Date of New Trade event should not be earlier than the launch date.	<b>Trade Date:</b> /trade/tradeHeader/tradeDate	<b>Trade Date:</b> Trade Header
hktr-event-busi-92-r	<b>Action:</b> Request  <b>Event:</b> Full Termination, Partial Termination, Quit, Withdrawal, Suppress Uncertain  <b>Description:</b> The party of Reporting For in the post trade event must be same as the party of Reporting For in the original trade. For Suppress Uncertain event, the Reporting For must be the counter trade party in the target trade.	<b>Reporting For:</b> /tr:eventActivityReport/tr:reportingFor	<b>Reporting For:</b> Trade Event Request Block
hktr-event-busi-93-r	<b>Action:</b> Request  <b>Event:</b> New Trade, Backloading, Amendment, Full Termination, Partial Termination, Relink, Quit, Suppress Uncertain  <b>Description:</b> If the Reporting For is a TR entity with originating party, the Reporting Party must have effective originating relationship with the Reporting For on	<b>Reporting For:</b> /tr:eventActivityReport/tr:reportingFor	<b>Reporting For:</b> Trade Event Request Block

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	the event date.		
hktr-event-busi-97-r	<b>Action:</b> Request <b>Event:</b> New Trade, Backloading <b>Description:</b> Bilateral Comments must be unique within the reporting view (except the status of the trade is withdrawn/quit) for the Reporting Party.	<b>Bilateral Comments:</b> tr:bilateralComments	<b>Bilateral Comments:</b> Trade Header
hktr-event-busi-98-r	<b>Action:</b> Request <b>Event:</b> Amendment, Full Termination, Partial Termination <b>Description:</b> For backloaded trade, the Event Date of post trade event must be later than the Backloading Date.	<b>Backloading Date:</b> /tr:backloadingDate <b>Event Date:</b> /agreementDate	<b>Backloading Date:</b> Event Block <b>Event Date:</b> Agreement Date – Event Block
hktr-event-busi-101-r	<b>Action:</b> Request <b>Event:</b> Backloading <b>Description:</b> The Backloading Date should not be earlier than the launch date.	<b>Backloading Date:</b> /tr:backloadingDate	<b>Backloading Date:</b> Event Block
hktr-event-busi-103-r	<b>Action:</b> Request <b>Event:</b> New Trade, Backloading, Amendment <b>Description:</b> Special Terms is required with Special Terms Indicator is "Yes", not allowed otherwise.	<b>Special Terms Indicator</b> /tr:specialTermsIndicator <b>Special Terms</b> /trade/tradeHeader/partyTradeInformation/tr:specialTerms	<b>Special Terms Indicator</b> Trade Header <b>Special Terms</b> Trade Header
hktr-	<b>Action:</b> Request	Not applicable	

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
event-busi-108-r	<b>Event:</b> Full Termination, Partial Termination, Relink, Quit, Withdrawal, Suppress Uncertain  <b>Description:</b> The product type and product sub-type of the post trade events must match with the data in the trade.		
hktr-event-busi-110-r	<b>Action:</b> Request  <b>Event:</b> New Trade, Backloading, Amendment  <b>Description:</b> The Payer Party of one leg must match the Receiver Party of the other leg and vice versa.	<b>Payer Party / Receiver Party:</b> For FX: /trade/fxSingleLeg/exchangedCurrency1/payerPartyReference /trade/fxSingleLeg/exchangedCurrency1/receiverPartyReference /trade/fxSingleLeg/exchangedCurrency2/payerPartyReference /trade/fxSingleLeg/exchangedCurrency2/receiverPartyReference  For IR: /trade/swap/swapStream/payerPartyReference /trade/swap/swapStream/receiverPartyReference	Not applicable. This rule is FpML specific.
hktr-event-busi-111-r	<b>Action:</b> Request  <b>Event:</b> Partial Termination  <b>Description:</b> For Partial Termination, the Change in Notional Amount and Outstanding Notional Amount cannot be zero.	<b>Change in Notional Amount:</b> /changeInNotionalAmount/amount  <b>Outstanding Notional Amount:</b> /outstandingNotionalAmount/amount	<b>Change in Notional Amount:</b> Trade Event Block  <b>Outstanding Notional Amount:</b> Trade Event Block
hktr-event-busi-113-r	<b>Action:</b> Request  <b>Event:</b> Amendment, Full Termination, Partial Termination  <b>Description:</b>	<b>Effective Date:</b> /effectiveDate  <b>Termination Date:</b> /trade/swap/swapStream/calculationPeriodDates/terminationDate/unadjustedDate	<b>Effective Date:</b> Event Block  <b>Termination Date:</b> Calculation Period Dates Block

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	The <a href="#">Effective Date</a> of post trade event must be before the <a href="#">Termination Date</a> (for IR) or <a href="#">Value Date</a> (for FX) of the target trade.	<a href="#">Value Date</a> : /trade/fxSingleLeg/valueDate	<a href="#">Value Date</a> : FX Single Leg Block
hktr-event-busi-116-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Amendment</a> , <a href="#">Full Termination</a> , <a href="#">Partial Termination</a>  <b>Description:</b> The <a href="#">Effective Date</a> of post trade event must be equals to or after the <a href="#">Trade Date</a> .	<a href="#">Effective Date</a> : /effectiveDate  <a href="#">Trade Date</a> : /trade/tradeHeader/tradeDate	<a href="#">Effective Date</a> : Event Block  <a href="#">Trade Date</a> : Trade Header
hktr-event-busi-117-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a> , <a href="#">Amendment</a>  <b>Description:</b> <a href="#">CP Trade Reference</a> is required when <a href="#">Confirmation Platform ID</a> is not “OTHERS” or “PAPER”; Not allowed otherwise.	<a href="#">Confirmation Platform ID</a> : /trade/tradeHeader/partyTradeInformation/relatedParty/partyReference  with coding scheme of role equals to ConfirmationPlatform  <a href="#">CP Trade Reference</a> : /trade/tradeHeader/partyTradeIdentifier/tradeId  For New Trade or Backloading event, with URI <a href="http://www.hkicl.com.hk/scheme/confirmation-platform/trade-ref">http://www.hkicl.com.hk/scheme/confirmation-platform/trade-ref</a>  For Amendment, with URI <a href="http://www.hkicl.com.hk/scheme/confirmation-platform/new-trade-ref">http://www.hkicl.com.hk/scheme/confirmation-platform/new-trade-ref</a>	<a href="#">Confirmation Platform ID</a> : Trade Header  <a href="#">CP Trade Reference</a> : Trade Header
hktr-event-busi-118-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a> , <a href="#">Amendment</a>	<a href="#">UTI Indicator</a> : /trade/tradeHeader/partyTradeIdentifier/tradeId:utiIndicator	<a href="#">UTI Indicator</a> : Trade Header  <a href="#">UTI</a> :

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	<b>Description:</b> UTI is required when <a href="#">UTI Indicator</a> is "Yes"; Not allowed otherwise.	<b>UTI:</b> /trade/tradeHeader/partyTradeIdentifier/tradeId  For New Trade event, with URI <a href="http://www.fpml.org/coding-scheme/external/unique-transaction-identifier">http://www.fpml.org/coding-scheme/external/unique-transaction-identifier</a>  For Amendment, with URI <a href="http://www.hkicl.com.hk/scheme/hktr/new-unique-transaction-identifier">http://www.hkicl.com.hk/scheme/hktr/new-unique-transaction-identifier</a>	Trade Header
hktr-event-busi-119-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a> , <a href="#">Amendment</a>  <b>Description:</b> <a href="#">Central Counterparty ID</a> is required only when <a href="#">Clearing</a> is "Yes"; Not allowed otherwise.	<b>Clearing:</b> /trade/tradeHeader/partyTradeInformation/tr:clearing  <b>Central Counterparty ID:</b> /trade/tradeHeader/partyTradeInformation/relatedParty/partyReference	<b>Clearing:</b> Trade Header  <b>Central Counterparty ID:</b> Trade Header
hktr-event-busi-123-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Relink</a>  <b>Description:</b> If <a href="#">Relink To</a> is blank, the trade of <a href="#">Relink From</a> must be linked or unlinked.	<b>Relink From</b> /tr:relinkFrom  <b>Relink To</b> /tr:relinkTo	<b>Relink From:</b> Event Block  <b>Relink To:</b> Event Block
hktr-event-busi-130-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Relink</a>  <b>Description:</b> If <a href="#">Relink To</a> is blank, the counter trade party of <a href="#">Relink From</a> must be an Overseas Incorporated AI or a designated BE of an overseas incorporated AI.	<b>Relink From</b> /tr:relinkFrom  <b>Relink To</b> /tr:relinkTo	<b>Relink From:</b> Event Block  <b>Relink To:</b> Event Block



Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-event-busi-131-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Relink</a>  <b>Description:</b> If <a href="#">Relink To</a> is not blank, the linking fields of the trades of Relink From and Relink To must be matched.	<a href="#">Relink To</a> /tr:relinkTo	<a href="#">Relink To:</a> Event Block
hktr-event-busi-132-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Amendment</a>  <b>Description:</b> The following change of counterparty is allowed. 1) change active TR entity without reporting service and originating party to non-registered party, provided that the party type used in the Amendment event is not maintained in the TR entity 2) change closed business entity to non-registered party 3) change non-registered party to TR participant, active business entity, non-registered party		
hktr-event-busi-133-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Amendment</a>  <b>Description:</b> The direction of trade parties can be changed only when the trade parties are same as the original trade.		
hktr-event-busi-135-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Amendment</a>	<b>Event Date:</b> /agreementDate	<b>Event Date:</b> Agreement Date – Event Block

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	<b>Description:</b> The <a href="#">Event Date</a> of the post trade event must be before the Termination Date (for IR) or Value Date (for FX) specified in that event.		
hktr-event-busi-137-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Suppress Uncertain</a>  <b>Description:</b> The request is allowed by Overseas Incorporated AI only.		
hktr-event-busi-138-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Suppress Uncertain</a>  <b>Description:</b> The <a href="#">Suppress Uncertain Indicator</a> from the event must be different from the current value.	<a href="#">Suppress Uncertain Indicator:</a> /tr:suppressUncertainIndicator	<a href="#">Suppress Uncertain Indicator:</a> Suppress Uncertain Indicator - Event Block
hktr-event-busi-139-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Suppress Uncertain</a>  <b>Description:</b> Agent is not allowed to submit Suppress Uncertain as the target trade is not linked with a trade submitted by the agent.		
hktr-event-busi-142-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Withdrawal</a>  <b>Description:</b> The target trade for the trade event must exist and the status is not withdrawn.		

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-event-busi-143-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> New Trade, Backloading, Amendment</p> <p><b>Description:</b> If the <a href="#">notional amount</a> (for IR) or <a href="#">payment amount of exchanged currency</a> (for FX) of one of the legs is zero, the amount of other leg must be zero.</p>	<p><a href="#">notional amount</a>: /trade/swap/swapStream/calculationPeriodAmount/calculation/notionalSchedule/notionalStepSchedule/initialValue</p> <p><a href="#">payment amount of exchanged currency</a>: /trade/fxSingleLeg/exchangedCurrency1/paymentAmount  /trade/fxSingleLeg/exchangedCurrency2/paymentAmount</p>	<p><a href="#">notional amount</a>: Notional Amount &gt; Amount - General Trade Details Block</p> <p><a href="#">payment amount of exchanged currency</a>:: Exchanged Currency 1 - Payment Amount &gt; Amount - Fx Single Leg Block  Exchanged Currency 2 - Payment Amount &gt; Amount - Fx Single Leg Block</p>
hktr-event-busi-144-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> Relink</p> <p><b>Description:</b> If <a href="#">Relink To</a> is not blank, the trades must be linked or unlinked originally.</p>	<p><a href="#">Relink To</a>: /tr:relinkTo</p>	<p><a href="#">Relink To</a>: Event Block</p>
hktr-event-busi-145-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> Quit, Suppress Uncertain</p> <p><b>Description:</b> Participant is not allowed to submit the trade event outside the latest Reporting Obligation period.</p>		
hktr-event-busi-147-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> Relink</p> <p><b>Description:</b> The Reporting Party of <a href="#">Relink From</a> and <a href="#">Relink To</a> must not be the same.</p>	<p><a href="#">Relink From</a>: /tr:relinkFrom</p> <p><a href="#">Relink To</a>: /tr:relinkTo</p>	<p><a href="#">Relink From</a>: Event Block</p> <p><a href="#">Relink To</a>: Event Block</p>
hktr-event-	<p><b>Action:</b> Request</p>	<p><a href="#">Relink From</a>: /tr:relinkFrom</p>	<p><a href="#">Relink From</a>: Event Block</p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
busi-148-r	<b>Event:</b> <a href="#">Relink</a>  <b>Description:</b> The trade party of <a href="#">Relink From</a> and <a href="#">Relink To</a> must be TR participant with reporting service or business entity with designated relationship.	<a href="#">Relink To:</a> /tr:relinkTo	<a href="#">Relink To:</a> Event Block
hktr-event-busi-149-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Relink</a>  <b>Description:</b> The party of <a href="#">Reporting For</a> must be same as the original trade.	<a href="#">Reporting For:</a> /tr:eventActivityReport/tr:reportingFor	<a href="#">Reporting For:</a> Trade Event Request Block
hktr-event-busi-150-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Relink</a>  <b>Description:</b> Request for multiple Relink event on the same trade is not allowed until the previous Relink event is completed or cancelled.		
hktr-event-busi-151-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Quit</a>  <b>Description:</b> The <a href="#">target trade</a> for the trade event must exist and the status is active.	<a href="#">target trade:</a> Trade or TradeIdentifier	<a href="#">target trade:</a> Trade Reference – Event Block Agent Trade Reference – Event Block User Trade Reference – Event Block Unique Transaction Identifier (UTI) – Event Block
hktr-event-busi-152-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">Amendment</a>  <b>Description:</b> The following change of <a href="#">Reporting For</a> is allowed.	<a href="#">Reporting For:</a> /tr:eventActivityReport/tr:reportingFor	<a href="#">Reporting For:</a> Trade Event Request Block

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	1) change active TR entity without reporting service and originating party to non-registered party, provided that the party type used in the Amendment event is not maintained in the TR entity 2) change closed business entity to non-registered party 3) change non-registered party to TR participant, active business entity, non-registered party		
hktr-event-busi-153-r	<b>Action:</b> Request  <b>Event:</b> Amendment, Full Termination, Partial Termination  <b>Description:</b> Participant is not allowed to submit the trade event with <b>event date</b> outside the latest Reporting Obligation period.	<b>event date:</b> /agreementDate	<b>event date:</b> Agreement Date – Event Block
hktr-event-busi-154-r	<b>Action:</b> Request  <b>Event:</b> Amendment, Full Termination, Partial Termination  <b>Description:</b> The <b>Agreement Date</b> must not be a future date.	<b>Agreement Date:</b> /agreementDate	<b>Agreement Date:</b> Agreement Date – Event Block
hktr-event-busi-156-r	<b>Action:</b> Request  <b>Event:</b> Partial Termination  <b>Description:</b> The <b>Outstanding Notional Amount</b> must be smaller than the current notional amount of the trade.	<b>Outstanding Notional Amount:</b> /outstandingNotionalAmount/amount	<b>Outstanding Notional Amount:</b> Trade Event Block
hktr-event-	<b>Action:</b> Request	<b>Event Date:</b> /agreementDate	<b>Event Date:</b> Agreement Date – Event Block

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
busi-157-r	<b>Event:</b> Amendment, Full Termination, Partial Termination  <b>Description:</b> The Event Date of the post trade event must be before the original Termination Date (for IR) or Value Date (for FX) of the target trade.		
hktr-event-busi-158-r	<b>Action:</b> Request  <b>Event:</b> Amendment, Full Termination, Partial Termination  <b>Description:</b> If the trade is quitted by the system, the Event Date of the post trade event must be before or equal to the quitted date.	Event Date: /agreementDate	Event Date: Agreement Date – Event Block
hktr-event-busi-159-r	<b>Action:</b> Request  <b>Event:</b> Amendment  <b>Description:</b> It is not allowed to modify the trade party of a linked trade.		
hktr-event-busi-161-r	<b>Action:</b> Request  <b>Event:</b> Amendment, Full Termination, Partial Termination, Quit, Withdrawal  <b>Description:</b> If there are more than one trade with the same quoted trade reference, an unique trade reference must be used to correlate the post trade event.		
hktr-	<b>Action:</b> Request	UTI:	UTI, Confirmation Platform ID, CP Trade

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
event-busi-162-r	<p><b>Event:</b> <a href="#">Amendment</a></p> <p><b>Description:</b>  It is not allowed to amend the trade, as there is another active / matured trade existing in the system with same uniqueness field (<a href="#">UTI</a> / <a href="#">User Trade Reference</a> / <a href="#">Agent Trade Reference</a> / combination of <a href="#">Confirmation Platform ID</a> and <a href="#">CP Trade Reference</a> / <a href="#">Bilateral Comments</a>).</p>	<p>/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.fpml.org/coding-scheme/external/unique-transaction-identifier"  Or  /partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/new-unique-transaction-identifier"</p> <p><b>Confirmation Platform ID:</b>  /trade/tradeHeader/partyTradeInformation/relatedParty/partyReference  with coding scheme of role equals to ConfirmationPlatform</p> <p><b>CP Trade Reference:</b>  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/confirmation-platform/trade-ref"  Or  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/confirmation-platform/new-trade-ref"</p> <p><b>User Trade Reference:</b>  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/user-trade-ref"  Or  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/new-user-trade-ref"</p> <p><b>Agent Trade Reference:</b>  /trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/agent-trade-ref"  Or</p>	<p><a href="#">Reference</a>, <a href="#">User Trade Reference</a>, <a href="#">Agent Trade Reference</a>, <a href="#">Bilateral Comments</a>:  Trade Header</p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
		/trade/tradeHeader/partyTradeIdentifier/tradeId/@tradeIdScheme="http://www.hkicl.com.hk/scheme/hktr/new-agent-trade-ref"  Bilateral Comments: tr:bilateralComments	
hktr-event-busi-163-r	<b>Action:</b> Request  <b>Event:</b> Suppress Uncertain  <b>Description:</b> The <a href="#">target trade</a> for the trade event must exist and the status is active/terminated.	<b>target trade:</b> Trade or TradeIdentifier	<b>target trade:</b> Trade Reference – Event Block Agent Trade Reference – Event Block User Trade Reference – Event Block Unique Transaction Identifier (UTI) – Event Block
hktr-event-busi-164-r	<b>Action:</b> Request  <b>Event:</b> Amendment  <b>Description:</b> The <a href="#">Effective Date</a> of post trade event must be before the <a href="#">Termination Date</a> (for IR) or <a href="#">Value Date</a> (for FX) specified in that event.	<b>Effective Date:</b> /effectiveDate  <b>Termination Date:</b> /trade/swap/swapStream/calculationPeriodDates/terminationDate/unadjustedDate  <b>Value Date:</b> /trade/fxSingleLeg/valueDate	<b>Effective Date:</b> Event Block  <b>Termination Date:</b> Calculation Period Dates Block  <b>Value Date:</b> FX Single Leg Block



#### D.2.3.4 FpML and CSV common rules - Interest Rate

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-ird-1-r	<p><b>Context:</b> <a href="#">Interest Rate Swap</a></p> <p><b>Description:</b>  <a href="#">Product Type</a> (<a href="#">Product Sub-type</a>) must be either <a href="#">InterestRateSwap</a> (<a href="#">IrsFloatingVsFixed</a>), <a href="#">InterestRateSwap</a> (<a href="#">BasisSwap</a>), or <a href="#">InterestRateSwap</a> (<a href="#">OvernightIndexSwap</a>).</p>	<p><b>Product Type:</b>  <trade @producttypescheme="&lt;a" href="http://www.hkicl.com.hk/scheme/hktr/product-type-simple" producttype="" swap="">"http://www.hkicl.com.hk/scheme/hktr/product-type-simple"</trade></p> <p>Or</p> <p>trade/fxSingleLeg/productType/@productTypeScheme=<a href="http://www.hkicl.com.hk/scheme/hktr/product-type-simple">"http://www.hkicl.com.hk/scheme/hktr/product-type-simple"</a></p> <p><b>Product Sub-type:</b>  trade/swap/productType/@productTypeScheme=<a href="http://www.hkicl.com.hk/scheme/hktr/product-sub-type">"http://www.hkicl.com.hk/scheme/hktr/product-sub-type"</a></p> <p>Or</p> <p>trade/fxSingleLeg/productType/@productTypeScheme=<a href="http://www.hkicl.com.hk/scheme/hktr/product-sub-type">"http://www.hkicl.com.hk/scheme/hktr/product-sub-type"</a></p>	<p><b>Product Type:</b>  Trade Event Request</p> <p><b>Product Sub-type:</b>  Trade Event Request</p>
hktr-ird-busi-4-r	<p><b>Action:</b> <a href="#">Request</a></p> <p><b>Event:</b> <a href="#">New Trade</a>, <a href="#">Backloading</a>, <a href="#">Amendment</a></p> <p><b>Description:</b>  The <a href="#">Notional Amount/Currency</a> in the two legs of the swap must be the same.</p>	<p><b>Notional amount:</b>  trade/swap/swapStream/calculationPeriodAmount/calculation/notionalSchedule/notionalStepSchedule/initialValue</p> <p><b>Notional currency:</b>  trade/swap/swapStream/calculationPeriodAmount/calculation/notionalSchedule/notionalStepSchedule/currency</p>	<p><b>Notional amount:</b>  Notional Amount &gt; Amount - General Trade Details Block</p> <p><b>Notional currency:</b>  Notional Amount &gt; Currency - General Trade Details Block</p>
hktr-ird-busi-5-r	<p><b>Action:</b> <a href="#">Request</a></p> <p><b>Event:</b> <a href="#">New Trade</a>, <a href="#">Backloading</a>, <a href="#">Amendment</a></p> <p><b>Description:</b></p>	<p><b>Reporting For:</b>  tr:reportingFor</p> <p><b>payer in one of the legs:</b>  trade/swap/swapStream/payerPartyReference</p>	<p><b>Reporting For:</b>  Trade Event Request Block</p> <p><b>payer in one of the legs:</b>  Floating Rate Payer Participant ID - General Trade</p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	The party type and ID of <a href="#">Reporting For</a> must be same as the <a href="#">payer in one of the legs</a> .		Details Block Fixed Rate Payer Participant ID - General Trade Details Block Floating Leg 1 Payer Participant ID - General Trade Details Block Floating Leg 2 Payer Participant ID - General Trade Details Block
hktr-ird-busi-8-r	<b>Action:</b> <a href="#">Request</a> <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a> , <a href="#">Amendment</a> <b>Description:</b> The <a href="#">payer party of one leg</a> must not be equal to the <a href="#">payer party of the other leg</a> .	<a href="#">payer party of one leg and payer party of the other leg</a> : payerPartyReference/@href and receiverPartyReference/@href	<a href="#">payer party of one leg and payer party of the other leg</a> : Floating Rate Payer Participant ID - General Trade Details Block Fixed Rate Payer Participant ID - General Trade Details Block Floating Leg 1 Payer Participant ID - General Trade Details Block Floating Leg 2 Payer Participant ID - General Trade Details Block
hktr-ird-busi-12-r	<b>Action:</b> <a href="#">Request</a> <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a> <b>Description:</b> The <a href="#">Trade Date</a> must be on or before <a href="#">Termination Date</a> .	<b>Trade Date:</b> /trade/tradeHeader/tradeDate  <b>Termination Date:</b> /trade/swap/swapStream/calculationPeriodDates/terminationDate/unadjustedDate	<b>Trade Date:</b> Trade Header  <b>Termination Date:</b> Calculation Period Dates Block

### D.2.3.5 FpML and CSV common rules - Foreign Exchange

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
hktr-fx-1-r	<p><b>Context:</b> Foreign Exchange</p> <p><b>Description:</b>  Product Type (Product Sub-type) must be FxNonDeliverableForward (FxNonDeliverableForward).</p>	<p><b>Product Type:</b>  /trade/swap/productType/@productTypeScheme = "<a href="http://www.fpml.org/coding-scheme/product-type-simple">http://www.fpml.org/coding-scheme/product-type-simple</a>"</p> <p>Or</p> <p>/trade/fxSingleLeg/productType/@productTypeScheme = "<a href="http://www.fpml.org/coding-scheme/product-type-simple">http://www.fpml.org/coding-scheme/product-type-simple</a>"</p> <p><b>Product Sub-type:</b>  /trade/swap/productType/@productTypeScheme = "<a href="http://www.hkicl.com.hk/scheme/hktr/product-sub-type">http://www.hkicl.com.hk/scheme/hktr/product-sub-type</a>"</p> <p>Or</p> <p>/trade/fxSingleLeg/productType/@productTypeScheme = "<a href="http://www.hkicl.com.hk/scheme/hktr/product-sub-type">http://www.hkicl.com.hk/scheme/hktr/product-sub-type</a>"</p>	<p><b>Product Type:</b>  Trade Event Request</p> <p><b>Product Sub-type:</b>  Trade Event Request</p>
hktr-fx-busi-1-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> New Trade, Backloading, Amendment</p> <p><b>Description:</b>  The party type and ID of Reporting For must be same as the payer in one of the exchanged currencies.</p>	<p><b>Reporting For:</b>  tr:reportingFor</p> <p><b>payer in one of the exchanged currencies.:</b>  /trade/fxSingleLeg/exchangedCurrency1/payerPartyReference  /trade/fxSingleLeg/exchangedCurrency2/payerPartyReference</p>	<p><b>Reporting For:</b>  Trade Event Request Block</p> <p><b>payer in one of the exchanged currencies:</b>  Either Exchanged Currency 1 - Payer Party ID – Fx Single Leg Block or Exchanged Currency 2 - Payer Party ID – Fx Single Leg Block</p>
hktr-fx-busi-2-r	<p><b>Action:</b> Request</p> <p><b>Event:</b> New Trade, Backloading, Amendment</p> <p><b>Description:</b></p>	<p><b>payer party:</b>  /trade/fxSingleLeg/exchangedCurrency1/payerPartyReference  /trade/fxSingleLeg/exchangedCurrency2/payerPartyReference</p>	<p><b>payer party:</b>  Exchanged Currency 1 - Payer Party ID – Fx Single Leg Block  Exchanged Currency 2 - Payer Party ID – Fx Single Leg Block</p>

Rule ID	Description	FpML Location of Involved Field Group or Field	CSV Location of Involved Field Group or Field
	The <a href="#">payer party</a> of one currency must not be equal to the <a href="#">payer party</a> of the other currency.		
hktr-fx-busi-14-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a> , <a href="#">Amendment</a>  <b>Description:</b> The <a href="#">Fixing Date</a> must be after the <a href="#">Trade Date</a> and equal to or before <a href="#">Value Date</a> .	<b>Fixing Date:</b> /trade/fxSingleLeg/nonDeliverableSettlement/fixing/fixingDate  <b>Trade Date:</b> /trade/tradeHeader/tradeDate  <b>Value Date:</b> /trade/fxSingleLeg/valueDate	<b>Fixing Date:</b> Non-Deliverable Settlement Block  <b>Trade Date:</b> Trade Header  <b>Value Date:</b> Fx Single Leg Block
hktr-fx-busi-15-r	<b>Action:</b> <a href="#">Request</a>  <b>Event:</b> <a href="#">New Trade</a> , <a href="#">Backloading</a> , <a href="#">Amendment</a>  <b>Description:</b> The <a href="#">Exchange Rate - Quoted Currency Pair Currency 1</a> and <a href="#">Exchange Rate - Quoted Currency Pair Currency 2</a> must be equal to the exchanged currencies.	<b>Exchange Rate - Quoted Currency Pair Currency 1:</b> /trade/fxSingleLeg/exchangeRate/quotedCurrencyPair/currency1  <b>Exchange Rate - Quoted Currency Pair Currency 2:</b> /trade/fxSingleLeg/exchangeRate/quotedCurrencyPair/currency2	<b>Exchange Rate - Quoted Currency Pair Currency 1:</b> Fx Single Leg Block  <b>Exchange Rate - Quoted Currency Pair Currency 2:</b> Fx Single Leg Block