

## Change Log from AIDG version 1.6 to 1.7 (Reporting)

No	AIDG 1.7 Version	Document Name	Section	Change Description
1	AIDG 1.7	HKTR Administration and Interface Development Guide (Reporting Service) version 1.7	2.1.3 Supported File Format for Trade Submission	<ul style="list-style-type: none"> <li>Change Description</li> <li>This change log states the update on HKTR specification from AIDG v1.6 to v1.7. It mainly includes the following: <ul style="list-style-type: none"> <li>Updated the Coding Scheme to align with the FpML recent version 1.116 and to support HKTR proprietary value "Proprietary rates" under coding scheme "FloatingRateIndex"</li> <li>Removed Party Identifier Type "MaskedPartyID" as it is no longer valid for reporting purpose</li> <li>Revised the field length requirement of the data fields supported Legal Entity Identifier (LEI) input to 20 characters to align with the international standard on LEI</li> <li>Updated the validation rules in response to the industry feedbacks (hktr-event-busi-35-r and hktr-event-busi-98-r) and cessation of Matching and Confirmation Service from 5 May 2018 (hktr-file-name-2, hktr-file-header-7, hktr-file-header-9 and hktr-file-header-10).</li> </ul> </li> </ul>
			2.2.2.2 Valuation Requests support in CSV	
			4.8 Return Code	
2		Appendix D - Validation Rules (Reporting)	D.2.1 Submitted File Name	<ul style="list-style-type: none"> <li>Revised the error description of below error code: DR4213</li> <li>Removed the below return codes and corresponding error description: DR4045, DR4140</li> </ul>
			D.2.2 File Header and File Content	<ul style="list-style-type: none"> <li>Revised the description of the below validation rule on submitted file name: hktr-file-name-2</li> </ul>
			D.2.3.2 FpML and CSV common rules - General	<ul style="list-style-type: none"> <li>Refined the description of the below validation rules on file header and file content: hktr-file-header-7, hktr-file-header-9, hktr-file-header-10</li> </ul>
			D.2.3.3 FpML and CSV common rules - Events	<ul style="list-style-type: none"> <li>Refined the description of the below validation rule on FpML and CSV submission: hktr-gen-busi-39-r</li> <li>Removed below validation rules on FpML and CSV submission: hktr-event-busi-35-r, hktr-event-busi-98-r</li> </ul>
3		Appendix F – Reporting - Ref - Enumerations and coding schemes (Reporting)	Coding Schemes	<ul style="list-style-type: none"> <li>Added new codes in the following coding schemes to align with latest FpML standard: "AssetClass", "BusinessCenter", "CommodityBusinessCalendar", "CommodityPriceQuoteUnits", "CommodityReferencePrice", "Currency", "FloatingRateIndex", "InflationIndexSource", "InterpolationMethod", "MasterAgreementType", "PartyRole", "PriceQuoteUnits", "ProductTaxonomy", "ProductType", "SettlementRateOption"</li> <li>For details of updates, please refer to the track changes version of the Appendix F i.e. "AIDG v1.7 Appendix F - Reporting - Ref - Enumerations and Coding Schemes (Track Changes Version)" in the AIDG version 1.7. A new column "Code with changes" is added into the corresponding tab to indicate the change details of the scheme.</li> <li>Updated description of codes in the following coding schemes to align with latest FpML standard: "AssetMeasure", "BusinessCenter", "CollateralType", "CommodityMetalProductType", "CommodityPriceQuoteUnits", "CommodityReferencePrice", "Currency", "InterpolationMethod", "MasterAgreementType", "PartyRole", "PriceQuoteUnits", "SettlementRateOption"</li> <li>For details of updates, please refer to the track changes version of the Appendix F i.e. "AIDG v1.7 Appendix F - Reporting - Ref - Enumerations and Coding Schemes (Track Changes Version)" in the AIDG version 1.7. A new column "Code with changes" is added into the corresponding tab to indicate the change details of the scheme.</li> <li>Added a new code "Proprietary rates" in the coding scheme "FloatingRateIndex" to support other code values not covered in the FpML standard</li> <li>Changed the field length requirement of the "LEI" input in the coding scheme "PartyIdentifierType" to align with the international standard on LEI</li> <li>Removed the code "MaskedPartyID" in the coding scheme "PartyIdentifierType" as it is no longer supported by the HKTR</li> </ul>
4	AIDG 1.7 CSV 2.1 / Excel 2.8 for Trade Reporting	Appendix B - Trade Submission Through CSV Format (Reporting) CSV2.1	-	-
		Appendix C Template 1 to 10 - IR FX EQ Standard and Other CSV2.1 Excel2.8	Field Definition - File	<ul style="list-style-type: none"> <li>Revised the field length requirement of "Submitting Party (ID)" and "Reporting Party (ID)"</li> </ul>
		Appendix C Template 1 to 6 - IR FX EQ Standard and Other CSV2.1 Excel2.8	Field Definition - Event	<ul style="list-style-type: none"> <li>Removed relevant description for "MaskedPartyID" under column "Element - Required/ Optional/ Conditional"</li> </ul>
		Appendix C - Ref - Response CSV2.1 Excel2.8	Field Definition - File	<ul style="list-style-type: none"> <li>Revised the field length requirement of "Recipient (ID)" and "Reporting Party (ID)"</li> </ul>
			Field Definition - Event	<ul style="list-style-type: none"> <li>Revised the field length requirement of "Send To (ID)" and "On Behalf Of (ID)"</li> </ul>
5	AIDG 1.7 FpML 5.5 for Trade Reporting	Appendix A - Trade Submission Through XML Document (Reporting) FpML5.5	A.4.2 trdoc:requestDocumentHeader Component	<ul style="list-style-type: none"> <li>Revised the data type (field length requirement) for field "trdoc:submittingParty" (field no. 1.3)</li> <li>Revised the data type (field length requirement) for field "trdoc:reportingParty" (field no. 1.4)</li> </ul>
			A.4.4 eventActivityReport Component	<ul style="list-style-type: none"> <li>Removed "Masked Party" from Description for field "partyId" (field no.1.5.1)</li> <li>Removed masked party ID from Usage Rule for field "@partyIdScheme" under /tr:eventActivityReport/party/partyId (field no.1.5.1)</li> <li>Removed the rule "Masked party is not allowed" from Usage Rule for field "@href" under /tr:eventActivityReport/tr:reportingFor/tr:tradePartyReference (field no.1.6.1)</li> </ul>
			A.4.6 NotificationMessageHeader Component	<ul style="list-style-type: none"> <li>Revised the data type (field length requirement) for field "sentBy" (field no. 1.2)</li> </ul>
			A.5.2 trdoc:responseDocumentHeader Component	<ul style="list-style-type: none"> <li>Revised the data type (field length requirement) for field "trdoc:replyToParty" (field no. 1.3)</li> <li>Revised the data type (field length requirement) for field "trdoc:reportingParty" (field no. 1.4)</li> </ul>
			A.5.4 eventActivityReportStatus Component	<ul style="list-style-type: none"> <li>Revised the data type (field length requirement) for field "partyId" (field no. 1.6.1)</li> </ul>
			A.5.6 ResponseMessageHeader (for Reporting) Component	<ul style="list-style-type: none"> <li>Revised the data type (field length requirement) for field "sendTo" (field no. 1.4)</li> </ul>
			A.6.2 Reporting - Trade	<ul style="list-style-type: none"> <li>Removed "masked party" from Description for field "partyReference" (field no. 1.2.2.1)</li> </ul>
			A.7 Summary on Coding Schemes	<ul style="list-style-type: none"> <li>Removed "masked-party-id" from Coding scheme URI and Usage for attribute name "partyIdScheme" under /tr:eventActivityReport/party/partyId</li> </ul>
		Appendix E - Examples in XML Format (Reporting) FpML5.5	-	-
		Appendix E - Guidelines on using extended schema Trade FpML5.5	-	-
6	AIDG 1.7 CSV 3.0 / Excel 3.5 for Trade Reporting	Appendix B - Trade Submission Through CSV Format (Reporting) CSV3.0	-	-
		Appendix C Template 1 to 8 - CD CM Standard and Other CSV3.0 Excel3.5	Field Definition - File	<ul style="list-style-type: none"> <li>Revised the field length requirement of "Submitting Party (ID)" and "Reporting Party (ID)"</li> </ul>
		Appendix C Template 1 to 4 - CD CM Standard and Other CSV3.0 Excel3.5	Field Definition - Event	<ul style="list-style-type: none"> <li>Removed relevant description for "MaskedPartyID" under column "Element - Required/ Optional/ Conditional"</li> </ul>
		Appendix C - Ref - Response CSV3.0 Excel3.5	Field Definition - File	<ul style="list-style-type: none"> <li>Revised the field length requirement of "Recipient (ID)" and "Reporting Party (ID)"</li> </ul>
			Field Definition - Event	<ul style="list-style-type: none"> <li>Revised the field length requirement of "Send To (ID)" and "On Behalf Of (ID)"</li> </ul>
7	AIDG 1.7 FpML 5.7 for Trade Reporting	Appendix A - Trade Submission Through XML Document (Reporting) FpML5.7	A.4.2 trdoc:requestDocumentHeader Component	<ul style="list-style-type: none"> <li>Revised the data type (field length requirement) for field "trdoc:submittingParty" (field no. 1.3)</li> <li>Revised the data type (field length requirement) for field "trdoc:reportingParty" (field no. 1.4)</li> </ul>

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				<p>This change log states the update on HKTR specification from AIDG v1.6 to v1.7. It mainly includes the following:</p> <ul style="list-style-type: none"> <li>- Updated the Coding Scheme to align with the FpML recent version 1.116 and to support HKTR proprietary value "Proprietary rates" under coding scheme "FloatingRateIndex"</li> <li>- Removed Party Identifier Type "MaskedPartyID" as it is no longer valid for reporting purpose</li> <li>- Revised the field length requirement of the data fields supported Legal Entity Identifier (LEI) input to 20 characters to align with the international standard on LEI</li> <li>- Updated the validation rules in response to the industry feedbacks (hktr-event-busi-35-r and hktr-event-busi-98-r) and cessation of Matching and Confirmation Service from 5 May 2018 (hktr-file-name-2, hktr-file-header-7, hktr-file-header-9 and hktr-file-header-10).</li> </ul>
			A.4.4 eventActivityReport Component	<ul style="list-style-type: none"> <li>• Removed "Masked Party" from Description for field "partyId" (field no.1.5.1)</li> <li>• Removed masked party ID from Usage Rule for field "@partyIdScheme" under /tr:eventActivityReport/party/partyId (field no.1.5.1)</li> <li>• Removed the rule "Masked party is not allowed" from Usage Rule for field "@href" under /tr:eventActivityReport/tr:reportingFor/tr:tradePartyReference (field no.1.6.1)</li> </ul>
			A.4.6 NotificationMessageHeader Component	<ul style="list-style-type: none"> <li>• Revised the data type (field length requirement) for field "sentBy" (field no. 1.2)</li> </ul>
			A.5.2 trdoc:responseDocumentHeader Component	<ul style="list-style-type: none"> <li>• Revised the data type (field length requirement) for field "trdoc:replyToParty" (field no. 1.3)</li> <li>• Revised the data type (field length requirement) for field "trdoc:reportingParty" (field no. 1.4)</li> </ul>
			A.5.4 eventActivityReportStatus Component	<ul style="list-style-type: none"> <li>• Revised the data type (field length requirement) for field "partyId" (field no. 1.6.1)</li> </ul>
			A.5.6 ResponseMessageHeader (for Reporting) Component	<ul style="list-style-type: none"> <li>• Revised the data type (field length requirement) for field "sendTo" (field no. 1.4)</li> </ul>
			A.6.2 Reporting - Trade	<ul style="list-style-type: none"> <li>• Removed "masked party" from Description for field "partyReference" (field no. 1.2.2.1)</li> </ul>
			A.6.3.2.4.9 Commodity	<ul style="list-style-type: none"> <li>• Revised the description and the cardinality of the field @instrumentIdScheme (field no. cm.7.1) to reflect the system design</li> </ul>
			A.7 Summary on Coding Schemes	<ul style="list-style-type: none"> <li>• Removed "masked-party-id" from Coding scheme URI and Usage for attribute name "partyIdScheme" under /tr:eventActivityReport/party/partyId</li> </ul>
		Appendix E - Examples in XML Format (Reporting) FpML5.7	-	-
		Appendix E - Guidelines on using extended schema Trade FpML5.7	-	-
8	AIDG 1.7 CSV 2.2 / Excel 2.9 for Valuation Reporting	Appendix B - Valuation Submission Through CSV Format (Reporting) CSV2.2	-	-
		Appendix C Template - Valuation (Reporting) CSV2.2 Excel2.9	Field Definition - File	<ul style="list-style-type: none"> <li>• Revised the field length requirement of "Submitting Party (ID)" and "Reporting Party (ID)"</li> </ul>
		Appendix C - Ref-Response (Reporting) CSV2.2 Excel2.9	Field Definition - File	<ul style="list-style-type: none"> <li>• Revised the field length requirement of "Recipient (ID)" and "Reporting Party (ID)"</li> </ul>
			Field Definition - Valuation	<ul style="list-style-type: none"> <li>• Revised the field length requirement of "Send To (ID)" and "On Behalf Of (ID)"</li> </ul>
9	AIDG 1.7 FpML 5.5 for Valuation Reporting	Appendix G - Valuation Submission Through XML Document FpML5.5	G.4.2 trdoc:requestDocumentHeader Component	<ul style="list-style-type: none"> <li>• Revised the data type (field length requirement) for field "trdoc:submittingParty" (field no. 1.3)</li> <li>• Revised the data type (field length requirement) for field "trdoc:reportingParty" (field no. 1.4)</li> </ul>
			G.4.4 valuationReport Message	<ul style="list-style-type: none"> <li>• Removed "Masked Party" from Description for field "partyId" (field no.1.4.1)</li> <li>• Removed masked party ID from Usage Rule for field "@partyIdScheme" under /valuationReport/ party/partyId (field no.1.4.1)</li> </ul>
			G.4.5 valuationReportRetracted Message	<ul style="list-style-type: none"> <li>• Removed "Masked Party" from Description for field "partyId" (field no.1.4.1)</li> <li>• Removed masked party ID from Usage Rule for field "@partyIdScheme" under /tr:valuationReportRetracted/party/partyId (field no.1.4.1)</li> </ul>
			G.4.6.1 NotificationMessageHeader Component	<ul style="list-style-type: none"> <li>• Revised the data type (field length requirement) for field "sentBy" (field no. 1.2)</li> </ul>
			G.5.2 trdoc:responseDocumentHeader Component	<ul style="list-style-type: none"> <li>• Revised the data type (field length requirement) for field "trdoc:replyToParty" (field no. 1.3)</li> <li>• Revised the data type (field length requirement) for field "trdoc:reportingParty" (field no. 1.4)</li> </ul>
			G.5.4 valuationReportAcknowledgement Component	<ul style="list-style-type: none"> <li>• Revised the data type (field length requirement) for field "partyId" (field no. 1.4.1)</li> </ul>
			G.5.6.1 NotificationMessageHeader / ExceptionMessageHeader Component	<ul style="list-style-type: none"> <li>• Revised the data type (field length requirement) for field "sendTo" (field no. 1.4)</li> </ul>
			G.7 Summary of Coding Schemes	<ul style="list-style-type: none"> <li>• Removed "masked-party-id" from Coding scheme URI and Usage for attribute name "partyIdScheme" under /valuationReport/party/partyId</li> </ul>
		Appendix H - Examples in XML Format FpML5.5	-	-
		Appendix H - Guidelines on using extended schema Valuation FpML5.5	-	-