AIDG Notification (Important Notes to Read), 2 November 2020

HKTR Administration and Interface Development Guide (Reporting Service) version		AIDG v1.3 Existing standards [with macro templates version]	AIDG v1.4 & 1.4.1 [documentation version] & [macro version version]		AIDG v1.4.2 [with macro templates version]		AIDG v1.5 & 1.5.1 [documentation version] & [macro templates version]		AIDG v1.5.2 [documentation version] & [macro templates version]		AIDG v1.5.3 [with macro templates version]		AIDG v1.6 [documentation version] & [macro templates version]		AIDG v1.7 [documentation version] & [macro templates version]	
Publication Date		3 December 2013	[documentation version] 31-Mar-14 & [macro templates] 18-Sep-14		10 July 2015		[documentation version] 29-Dec-15 & [macro templates] 06-Jun-16		[documentation version] 28-Oct-16 & [macro templates] 19-Dec-16		30-Aug-19		[documentation version] 29-Apr-20 [macro templates] 25-May-20		[documentation version] 8-Jul-20 [macro templates] 2-Nov-20	
Effective Date		3 December 2013	29 September 2014		10 July 2015		06-Jun-16		19-Dec-16		17-Feb-20 (for SWIFT related changes)		1-Jun-20		7-Dec-20	
System Supported Product Scope (IR/FX 4 Products - Products introduced in July 2013) (IR/FX/EQ 15 Products - Products introduced in September 2014) (CR/CM and All remaining products under IR/FX/EQ - Products introduced in June 2016) *For the list of products supported / to be supported in HKTR, please refer to the "OTC Derivatives Trade Repository Reporting Service Reference Manual" Annex 1 published by the HKMA for more information*		IR/FX 4 Products	IR/FX 4 Products	IR/FX 4 Products & IR/FX/EQ 15 Products	IR/FX 4 Products	IR/FX 4 Products & IR/FX/EQ 15 Products	All products under IR/FX/EQ asset classes	CR/CM Products	All products under IR/FX/EQ asset classes	CR/CM Products	All products under IR/FX/EQ asset classes	CR/CM Products	All products under IR/FX/EQ asset classes	CR/CM Products	All products under IR/FX/EQ asset classes	CR/CM Products
Documents Involved / version:		AIDG v1.3 for FpML5.2 AIDG v1.3 for CSV1.0/ Excel1.3	AIDG v1.4 & 1.4.1		AIDG v1.4.2		AIDG v1.5 & 1.5.1		AIDG v1.5.2		AIDG v1.5.3		AIDG v1.6		AIDG v1.7	
HKTR Administration and Interface Development Guide																
Appendix D Validation Rules																
Appendix F Enumerations and coding schemes																
Trade Reporting	Appendix A Trade Submission Through XML Document Appendix E Schemas and Examples in XML Format (Trade)		AIDG v1.4 & 1.4.1 for FpML 5.2	AIDG v1.4 & 1.4.1 for FpML 5.5	AIDG v1.4.2 for FpML 5.2	AIDG v1.4.2 for FpML 5.5	AIDG v1.5 & 1.5.1 for FpML 5.5	AIDG v1.5 & 1.5.1 for FpML 5.7	AIDG v1.5.2 for FpML 5.5	AIDG v1.5.2 for FpML 5.7	AIDG v1.5.3 for FpML 5.5	AIDG v1.5.3 for FpML 5.7	AIDG v1.6 for FpML 5.5	AIDG v1.6 for FpML 5.7	AIDG v1.7 for FpML 5.5	AIDG v1.7 for FpML 5.7
	Appendix B Trade Submission Through CSV Format Appendix C Templates (Trade) and Response		AIDG v1.4 & 1.4.1 for CSV1.0/Excel 1.4 & 1.5	AIDG v1.4 & 1.4.1 for CSV2.0/Excel 2.0 & 2.1	AIDG v1.4.2 for CSV1.0/Excel 1.6	AIDG v1.4.2 for CSV2.0/Excel 2.2	AIDG v1.5 & 1.5.1 for CSV2.1/Excel 2.3 & 2.4	AIDG v1.5 & 1.5.1 for CSV3.0/Excel 3.0 & 3.1	AIDG v1.5.2 for CSV2.1/Excel 2.5	AIDG v1.5.2 for CSV3.0/Excel 3.2	AIDG v1.5.3 for CSV2.1/Excel 2.6	AIDG v1.5.3 for CSV3.0/Excel 3.3	AIDG v1.6 for CSV2.1/Excel 2.7	AIDG v1.6 for CSV3.0/Excel 3.4	AIDG v1.7 for CSV2.1/Excel 2.8	AIDG v1.7 for CSV3.0/Excel 3.5
Valuation Reporting	Appendix G Valuation Submission Through XML Document Appendix H Schemas and Examples in XML Format (Valuation)	-	-		-		AIDG v1.5 & 1.5.1 for FpML 5.5 (Valuation Reporting)		AIDG v1.5.2 for FpML 5.5 (Valuation Reporting)		AIDG v1.5.3 for FpML 5.5 (Valuation Reporting)		AIDG v1.6 for FpML 5.5 (Valuation Reporting)		AIDG v1.7 for FpML 5.5 (Valuation Reporting)	
	Appendix B Valuation Submission Through CSV Format Appendix C Templates (Valuation) and Response						AIDG v1.5 & 1.5.1 for CSV2.2/Excel 2.4 & 2.5 (Valuation Reporting)		AIDG v1.5.2 for CSV2.2/Excel 2.6 (Valuation Reporting)		AIDG v1.5.3 for CSV2.2/Excel 2.7 (Valuation Reporting)		AIDG v1.6 for CSV2.2/Excel 2.8 (Valuation Reporting)		AIDG v1.7 for CSV2.2/Excel 2.9 (Valuation Reporting)	
Remarks		-	This document version incorporates a series of refinements made to AIDG version 1.3 for Existing 4 Products and added new standards to support 15 New Products. Please refer to the Change Log (from AIDG 1.3 to 1.4) and the Change Log (from AIDG 1.4 to 1.4.1) for more details		This version incorporates the 10th July 2015 Reporting Rules requirements, Frequently Asked Questions (FAQs) and Supplementary Reporting Instructions (SRI) for the OTC derivatives reporting regime, some technical requirements to the HKTR have been refined. This document version incorporates a series of updates made to AIDG version 1.4.1 for Existing 4 Products and 15 New products. Please refer to the Change Log (from AIDG 1.4.1 to 1.4.2) for more information.		To cope with the proposed expanded mandatory reporting requirements made in the consultation paper published on the 30th September 2015 for the OTC derivatives transactions, some technical and data fields reporting requirements in to the HKTR has been refined accordingly. This document version incorporates a series of updates made to AIDG version 1.4.2 on Existing 4 Product &15 New products of IR/FX/EQ, together with all other IR/FX/EQ products, the new asset classes - Credit (CR) and Commodity (CM) and valuation transaction information reporting. For the change made for the Existing 4 Products &15 New Products of IR/FX/EQ, please refer to the Change Log (from AIDG 1.4.2 to 1.5) and Change Log (from AIDG v1.5 to v1.5.1) for more information.		This document version incorporates a series of technical updates and refinements made to AIDG version 1.5.1 in response to the revised regulatory proposals on various technical aspect and mandatory reporting data field requirements in the further conclusion paper and gazette published on 15 July 2016. Please refer to the Change Log (from AIDG v1.5.1 to v1.5.2) for the update.		This version incorporates technical update made to AIDG version 1.5.2 in response to the TR enhancement for accommodating the new SWIFT WebAccess solution introduced by SWIFT on 17 February 2020, together with some refinements on document/wording (textual amendments) since last published. Please refer to the Change Log (from AIDG v1.5.2 to v1.5.3) for the update.		This version incorporates technical updates and refinements made to AIDG 1.5.3. The key changes include the updates of the existing coding scheme "FloatingRateIndex" to align with the latest FpML Coding Schemes version 1.114 published on 27 March 2020 and the updates of version of the client software supported by the HKTR system. Please refer to the Change Log (from AIDG v1.5.3 to v1.6) for the update.		This version incorporates technical updates and refinements made to AIDG 1.6 regarding the industry feedbacks received, also to improve data quality and align with the international standards. The key changes made in the revised AIDG include (i) updates of coding schemes supported in the HKTR reporting templates, (ii) modification of some input field(s) checking and (iii) changes in some business validation rule(s). Please refer to the Change Log (from AIDG v1.6 to v1.7) for the update. In addition, a regular update will be implemented to the coding scheme "FloatingRateIndex" supported in the HKTR system on a bi-monthly basis in order to cope with the floating rate indices emerging from the markets from time to time. The details of the update of coding scheme "FloatingRateIndex" will be reflected in the AIDG Appendix F and the coding scheme is available to be downloaded separately in the HKTR Info Page website. Please also refer to the HKTR Info Page website for the detailed arrangement.	
Important Notes		Note 1 : Please note that the 10th July 2015 Reporting Rules requirements (including mandatory reporting data fields requirements) and TR supported values & enumerations are updated into the AIDG v1.4.2. Although the AIDG v1.3, AIDG v1.4 and AIDG v1.4.1 are still useable in term of technical aspect, those reporting requirements in these versions are outdated and obsoleted. Reporting entities are required to adopt the AIDG v 1.4.2 as soon as possible to fulfil the 10 July 2015 Reporting Rules Requirements and to observe the deadlines for the mandatory reporting requirements and adopting technical standards accordingly.				Note 2 : In response to the revised regulatory proposals on various technical aspects and mandatory reporting data field requirements in the Securities and Futures (OTC Derivative Transactions -- Reporting and Record Keeping Obligations) (Amendment) Rules 2016 ("Amendment Rules"), the Gazette (Government Notice Number 3912) and the Further Consultation Conclusions on Introducing Mandatory Clearing and Expanding Mandatory Reporting ("Phase 2 Reporting"), a set of update requirements and technical specifications for reporting is set out in the version 1.5.2 of Administration and Interface Development Guide ("AIDG"). Reporting entities are reminded to read the revised AIDG (version 1.5.2) carefully to ensure they are fully aware of the changes from the AIDG (version 1.5.1) published on 6 June 2016. Though the Phase 2 Reporting will not come into effective immediately, the existing reporting standards and technical specifications found in all the previous versions of AIDG will be no longer able to support the mandatory reporting requirements under the Phase 2 Reporting which will be commenced on 1 July 2017. Reporting entities are reminded to make preparations to adopt the revised AIDG (version 1.5.2) as soon as possible to ensure that they will be ready when the Phase 2 mandatory reporting requirements start to apply.						
Hong Kong Trade Repository Administration and Interface Development Guide-Reporting Service ("Reporting Service AIDG") Annex –Supplementary Reporting Instruction (SRI) for OTC Derivative Transaction		This document provides a summary of the general requirements for reporting transactions to the HKTR (including clarification of important concepts) and specific instructions for reporting particular types of transactions under different circumstances. It is important that this document should be read in conjunction with the parts of the SFO relating to the mandatory reporting of OTC derivative transactions, the Reporting Rules and the HKTR reporting manuals. Reporting Party should always refer to the latest version published, please refer to the HKTR Info Page website.															