

HKTR Administration and Interface Development Guide (Reporting Service) 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 [documentation version] & [macro templates version]		AIDG v1.6 [documentation version] & [macro templates version]		AIDG v1.7 [documentation version] & [macro templates version]		AIDG v1.8 [documentation version] & [macro templates version]		AIDG v2.0 [documentation version]	
Publication Date		[documentation version] 29 Dec 2015 & [macro templates] 6 Jun 2016		[documentation version] 28 Oct 2016 & [macro templates] 19 Dec 2016		30 Aug 2019		[documentation version] 29 Apr 2020 [macro templates] 25 May 2020		[documentation version] 8 Jul 2020 [macro templates] 2 Nov 2020		[documentation version] 23 Mar 2021 [macro templates] 5 Nov 2021		29 Mar 2022	
Effective Date		6 Jun 2016		19 Dec 2016		17 Feb 2020 (for SWIFT related changes)		1 Jun 2020		7 Dec 2020		24 Jan 2022		19 Dec 2022	
<b>System Supported Product Scope</b> (IR/IFX/4 Products - Products introduced in July 2013) (IR/IFX/EQ 15 Products - Products introduced in September 2014) (CR/CM and All remaining products under IR/IFX/EQ - Products introduced in June 2016)  <i>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</i>		All products under IR/IFX/EQ asset classes  CR/CM Products		All products under IR/IFX/EQ asset classes  CR/CM Products		All products under IR/IFX/EQ asset classes  CR/CM Products		All products under IR/IFX/EQ asset classes  CR/CM Products		All products under IR/IFX/EQ asset classes  CR/CM Products		All products under IR/IFX/EQ asset classes  CR/CM Products		All products under IR/IFX/EQ asset classes  CR/CM Products	
<b>Documents Involved / version:</b>															
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 v1.5 & 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	
Appendix B Trade Submission Through CSV Format Appendix C Templates (Trade) and Response		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	
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)		AIDG v1.8 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)		AIDG v1.8 for CSV2.2/Excel 2.10 (Valuation Reporting)		AIDG v2.0 for CSV2.2/Excel 2.11 (Valuation Reporting)	
Remarks		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/IFX/EQ, together with all other IR/IFX/EQ products, the new asset classes - Credit (CRI) and Commodity (CM) and valuation transaction information reporting. For the change made for the Existing 4 Products & 15 New Products of IR/IFX/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 to 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.		This version incorporates technical updates and refinements made to AIDG 1.7, which mainly include (i) updates of coding schemes supported in the HKTR reporting templates, (ii) renaming of "Unique Trade Identifier (UTI)" to "Unique Transaction Identifier - Unique Swap Identifier (UTI-USI)", (iii) cessation of the outdated reporting templates, i.e. file format version - CSV1.0, CSV2.0 and FpML 5.2 and (iv) corresponding changes in some business validation rules. Please refer to the Change Log (from AIDG v1.7 to v1.8) for the update.		This version incorporates technical updates and refinements made to AIDG 1.8, which mainly include (i) making available the "Global Unique Transaction Identifier" (Global UTI) related data fields in anticipation of the global implementation of UTI, (ii) enhancing the Equity templates to address market feedback and cater to regulatory needs, (iii) amending data field descriptions to accommodate the mandating of reporting specified field values and product types. Please refer to the Change Log (from AIDG v1.8 to v2.0) for the update.	
Important Notes		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 effect 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.									