General Information (Origin of Request)
☐ User Requirements (URD)
☒ Other User Functional or Technical Documentation (SYS)

Request raised by: 4CB	Institute: 4CB	Date raised: 15/12/2014

Request title: Duplicate checks on Eligible Counterpart CSD	Request ref. no: T2S 0487 SYS

Request type: Common	Urgency: Normal
1. Legal/business importance parameter: Low	2. Market implementation efforts parameter: Low
3. Operational/Technical risk parameter: Low	4. Financial impact parameter: No cost impact
Requestor Category: 4CB	Status: Authorised at Steering Level

Reason for change and expected benefits/business motivation:

Currently, no checks exist to prevent the creation of duplicate Eligible Counterpart CSD objects.

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Description of requested change:

T2S should prevent the configuration of two active instances of Eligible Counterpart CSD object for the same combination of Investor CSD, Eligible Counterpart CSD, Eligibility Type and Eligibility Criteria (Issuer CSD, Country or Security).

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Submitted annexes / related documents:

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Proposed wording for the Change request:

The following Business Rules should be added to the documentation:

- **DPC2200**: When performing an Eligible Counterpart CSD create request, no other Eligible Counterpart CSD having the same Investor CSD, Eligible Counterpart CSD, Eligibility Type and Issuer CSD or Country or Security must exist in an overlapping validity period.
- **DPU2200**: When performing an Eligible Counterpart CSD update request, no other Eligible Counterpart CSD having the same Investor CSD, Eligible Counterpart CSD, Eligibility Type and Issuer CSD or Country or Security must exist in an overlapping validity period.

UDFS Section 3.3.6.20.2 The T2S-specific schema [EligibleCounterpartCSDCreationRequestV01 (reda.026.001.01)], pages 1154 and following.

Business rules applicable to the schema

MESSAGE ITEM	DATA TYPE / CODE	BUSINESS RULES
EligibleCounterpartCSDCreationRequestV01 Document/ElgblCntrptCSDCreReq	EligibleCounterpartCSDCreationRequestV01	DPC2001
IssuerIdentification Document/ElgblCntrptCSDCreReq/ElgblCntrptCSD/IssrId	SystemPartyIdentification1Choice	DPC2070 DPC2200
EligibleCounterpartIdentification Document/ElgblCntrptCSDCreReq/ElgblCntrptCSD/ElgblCntrptId	SystemPartyIdentification1Choice	DPC2070 DPC2200

MESSAGE ITEM	DATA TYPE / CODE	BUSINESS RULES
ValidFrom Document/ElgblCntrptCSDCreReq/ElgblCntrptCSD/VldFr	ISODate	DPC2120 DPC2200
ValidTo Document/ElgblCntrptCSDCreReq/ElgblCntrptCSD/VldTo	ISODate	DPC2121 DPC2200
Country Document/ElgblCntrptCSDCreReq/ElgblCntrptCSD/ElgbltyId/Ctry	CountryCode	DPC2080 DPC2200
FinancialInstrumentIdentification Document/ElgblCntrptCSDCreReq/ElgblCntrptCSD/ElgbltyId/FinInstrmId	ISINIdentifier	DPC2100 DPC2200
IssuerCSDIdentification Document/ElgblCntrptCSDCreReq/ElgblCntrptCSD/ElgbltyId/IssrCSDId	SystemPartyIdentification1Choice	DPC2071 DPC2200

UDFS Section 4.1 (Index of Business Rules and Error Codes)

BR NAME	DESCRIPTION	INBOUND MESSAGE	REPLY MESSAGE	CODE USE	REASON CODE	ERROR TEXT
DPC2200	When performing an Eligible Counterpart CSD create request, no other Eligible Counterpart CSD having the same Investor CSD, Eligible Counterpart CSD, Eligibility Type and Issuer CSD or Country or Security must exist in the same validity period.	reda.026	reda.044		REJT	Invalid Eligible Counterpart CSD

UHB Chapter 2.5.1.3 Eligible Counterpart CSD – New/Edit Screen, pages 639-641

Valid from*	Enter the date from which the eligible counterpart CSD is valid or use the *calendar* icon. Required format is: YYYY-MM-DD Reference for error message: [2180] ❙ DPC2120 ❙ DPC2200 ❙ DPU2200
Valid to	Enter the date until which the eligible counterpart CSD is valid or use the *calendar* icon. Required format is: YYYY-MM-DD The 'Valid to' date must be equal to or later than the 'Valid from' date. Reference for error message: [2180] ❙ DPC2121 ❙ DPU2121 ❙ DPC2200 ❙ DPU2200
Investor Parent BIC	Shows the parent BIC of the investor CSD. References for error messages [2183]: ❙ DPC2001 ❙ DPC2070 ❙ D P C 2200 ❙ DPU2001 ❙ DPU2200 This field is a mandatory select field in the new screen.
Investor BIC	Shows the BIC of the investor CSD. References for error messages [2183]:

	❚ DPC2001 ❚ DPC2070 ❚ D P C 2200 ❚ DPU2001 ❚ DPU2200 This field is a mandatory select field in the new screen. This field is a mandatory field in the new screen. You can choose to either enter the BIC of the eligible counterpart CSD or to select it from the suggested items in the drop-down menu.
Eligible Counterpart CSD Parent BIC	Shows the parent BIC of the eligible counterpart CSD. References for error messages [2183]: ❚ DPC2070 ❚ D P C 2200 ❚ D P U 2200
Eligible counterpart CSD BIC*	This field is a mandatory field in the *new* screen. You can choose to either enter the BIC of the eligible counterpart CSD or to select it from the suggested items in the drop-down menu. Required format is: max 11 characters (SWIFT-x), input sensitive Shows the BIC of the eligible counterpart CSD. References for error messages: [☐ 2183] ❚ DPC2070 ❚ D P C 2200 ❚ DPU2200 This field is a mandatory field in the new screen. You can choose to either enter the BIC of the eligible counterpart CSD or to select it from the suggested items in the drop-down menu.
Eligibility Type*	Select the eligibility type from the possible values: ❚ Securities ❚ Country ❚ Issuer CSD References for error messages: [2183] ❚ D P C 2200 ❚ DPU2200
ISIN	Select the ISIN of the security. If you have accessed this screen via the securities – se-arch/list screen, this field is already filled in. If the selected eligibility type is set to 'Securities', this field is mandatory, otherwise it is not available. References for error messages: [2183] ❚ DPC2100 ❚ D P C 2200 ❚ DPU2200
Country Code*	Select the country code of the eligible securities. Required format is: max. 2 characters (SWIFT-x) If the selected eligibility type is set to 'Country', this field is mandatory, otherwise it is not available. References for error messages: [2183] ❚ DPC2080 ❚ D P C 2200 ❚ DPU2200

Issuer Parent BIC	You can choose to either enter the parent BIC of the issuer or to select it from the suggested items in the drop-down menu. Required format is: max. 11 characters (SWIFT-x) If you have accessed this screen via the parties - list screen, this field and the following are already filled in. If the selected eligibility type is set to 'Issuer CSD', this field is mandatory, otherwise it is not available. References for error messages: [2183] ❚ DPC2071 ❚ D P C 2200 ❚ DPU2200
Issuer BIC	You can choose to either enter the BIC of the issuer or to select it from the suggested items in the drop-down menu. Required format is: max.11 characters (SWIFT-x) If you have accessed this screen via the parties - list screen, this field and the following one are already filled in. If the selected eligibility type is set to 'Issuer CSD', this field is mandatory, otherwise it is not available. References for error messages: [☐ 2183] ❚ DPC2071 ❚ DPC2200 ❚ DPU2200
Submit	This function enables you to create or edit an eligible counterpart CSD. Next screen: ❚ Eligible counterpart CSD – search/list screen [6̶25] References for error messages: [2183] ❚ DPC2001 ❚ DPC2070 ❚ DPC2071 ❚ DPC2080 ❚ DPC2100 ❚ DPC2120 ❚ DPC2121 ❚ D P C 2200 ❚ DPU2001 ❚ DPU2003 ❚ DPU2121 ❚ DPU2200

UHB-Chapter 6.4.2.72 Eligible Counterpart CSD – New/Edit Screen, pages 2185-2186, (References for Error Messages)

DPC2200	❚ Valid from field ❚ Valid to field ❚ Investor Parent BIC field ❚ Investor BIC field ❚ Eligible Counterpart CSD Parent BIC field ❚ Eligible Counterpart CSD BIC field ❚ Eligibility Type field ❚ ISIN field ❚ Country Code field ❚ Issuer Parent BIC field ❚ Issuer BIC field ❚ Submit button	Invalid Eligible Counterpart CSD	When performing an Eligible Counterpart CSD create request, no other Eligible Counterpart CSD having the same Investor CSD, Eligible Counterpart CSD, Eligibility Type and Issuer CSD or Country or Security must exist in the same validity period.

| DPU2200 | ❙ Valid from field
❙ Valid to field
❙ Investor Parent BIC field
❙ Investor BIC field
❙ Eligible Counterpart CSD Parent BIC field
❙ Eligible Counterpart CSD BIC field
❙ Eligibility Type field
❙ ISIN field
❙ Country Code field
❙ Issuer Parent BIC field
❙ Issuer BIC field
❙ Submit button | Invalid Eligible Counterpart CSD | When performing an Eligible Counterpart CSD Update request, no other Eligible Counterpart CSD having the same Investor CSD, Eligible Counterpart CSD, Eligibility Type and Issuer CSD or Country or Security must exist in the same validity period. |

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High level description of Impact:

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Outcome/Decisions:

* CRG meeting of 15 December 2014: The CRG recommended the approval of the Change Requests.

* OMG on 6 January 2015: During a written procedure from 19 December 2014 to 6 January 2015, the Operations Managers Group did not identify any operational impact of the Change Request.

* Advisory Group's advice on 20 January 2015: Following a written procedure, the AG was in favour of the Change Request.

* CSG resolution on 21 January 2015: Following a written procedure, the CSG adopted the resolution to approve the Change Request.