USER MANUAL

FEAT – FRONT END BI SECURITY DATABASE

FE129 – FRONT END Art.129 C.B.L. REPORTING

This manual is updated to 19 December 2023

CONTENTS

1. Introduction

This manual contains the operating instructions for the two INFOSTAT applications:
- FEAT: Front End BI security database
- FE129: Front End 129.

Although both have similar interfaces they allow registered users to perform different activities.

FEAT is used to request for the assignment of an ISIN, to register an ISIN into BI security database or to communicate updates on securities issued by resident entities or deposited with the Italian CSD in accordance with ISO 6166. All these activities are part of the Financial Instruments ISIN Code Service provided by the Bank of Italy as National Numbering Agency (NNA). For further information please refer to the 'Terms of Use of the Code Service' available on the Bank of Italy's website

FE129 is used to send reports in compliance with Article 129 of the Consolidated Banking Law (henceforth, '129 Report') concerning only the types of financial instrument listed in the 'Provisions concerning the reporting of issues and offerings of financial instruments' (henceforth, '129 Provisions'). For such instruments, FE129 can also be used for the same purposes as FEAT. In this way a Partner can use the same application both for ISIN request/registration and for Art.129 reporting.

As for the terms on how to access the surveys, users must refer to the 'Instructions for accessing the ISIN code service and Art.129 reporting'.

Both applications use the INFOSTAT platform, accessible from the section 'Statistics> ISIN numbering service, BI security database and reports per Art. 129 TUB' of BI website or, directly, at this link: https://infostat.bancaditalia.it/.

In order to use INFOSTAT users will need access to the internet, a browser and an Adobe Flash Player plug-in, which can be downloaded free of charge from the Adobe website (www.adobe.it). To fill in the registration form and browse the pdf files generated by the application you will need Adobe Reader 9.3.0 or later versions.

In view of the confidential nature of the information, the platform may only be accessed by users authorized for the specific reports.

The images in the manual show examples of the functions available and may differ from those viewed by users.

2. Accessing the FE129 and FEAT applications

After authentication, authorized users can access the INFOSTAT Home Page where are the links to the applications, including the Financial Instrument Numbering Service and the Reporting per Art. 129 of the Consolidated Banking Law:

➢ FEAT – FRONT END BI SECURITY DATABASE;
➢ FE129 – FRONT END 129.
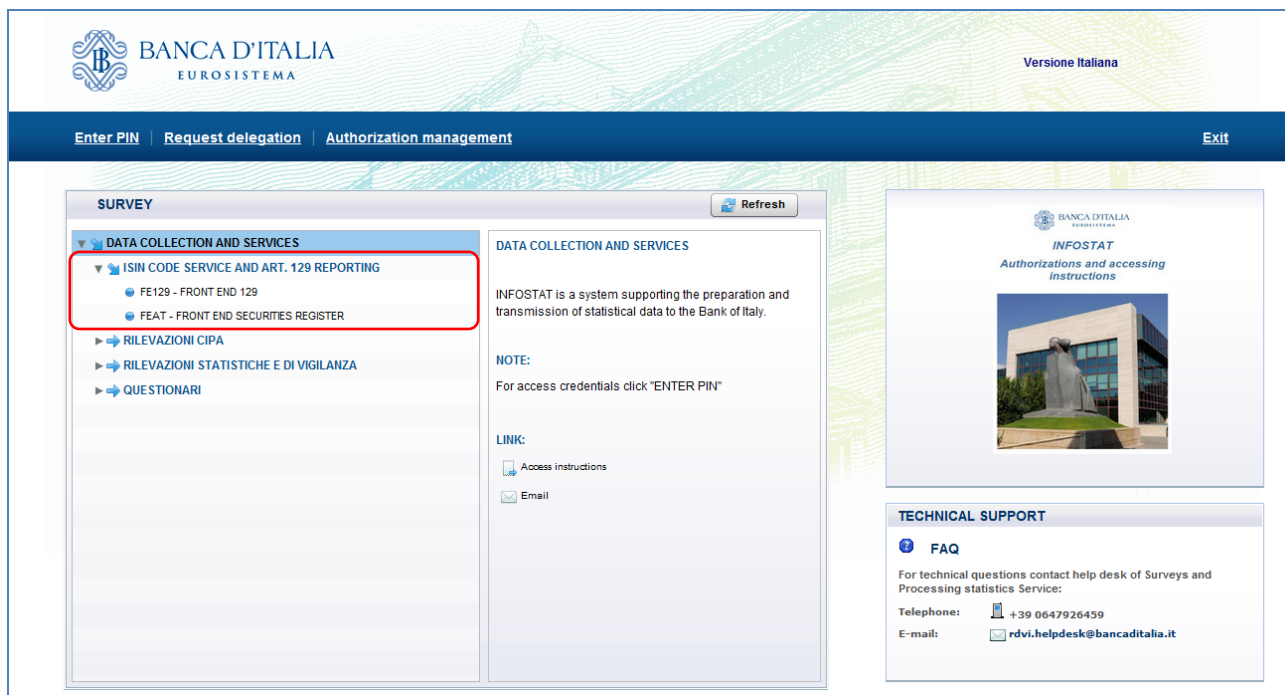
By selecting either FEAT or FE129, the right section will show notes containing specific information on the survey and two options:

- **SERVICES ACCESS**: to enter the selected application;
- **MESSAGES**: to browse messages sent or received by the Partners for which the user is authorized (§3.6).
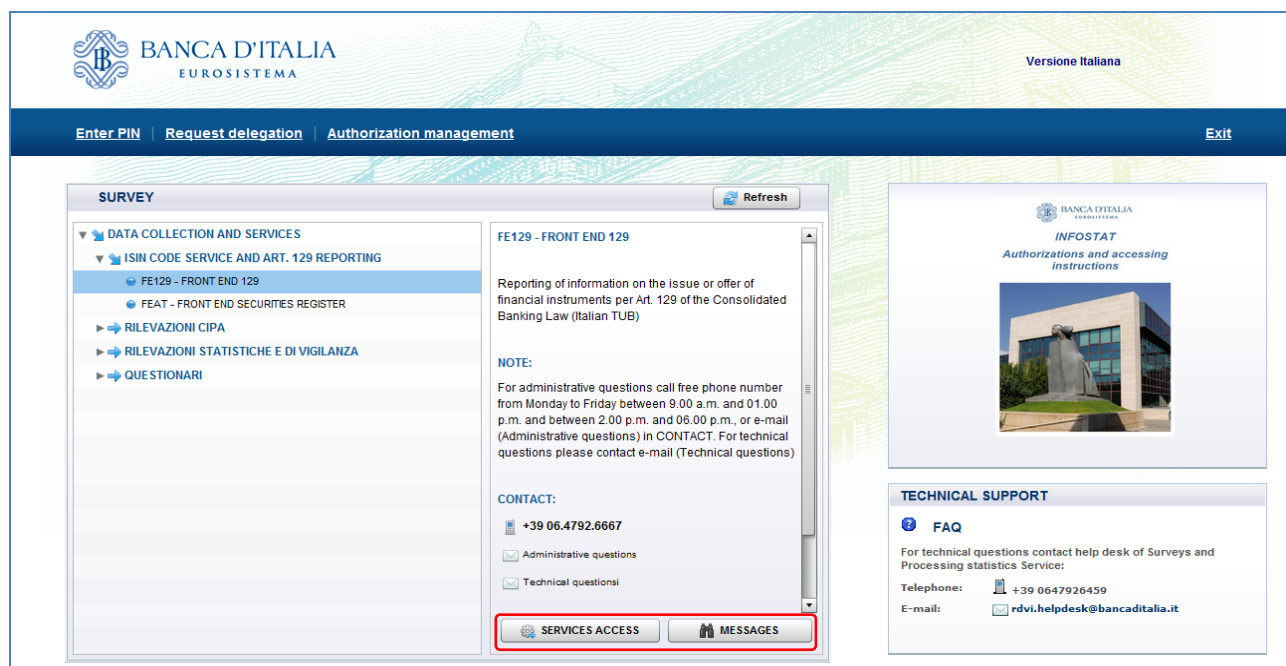
If the two options cannot be displayed, then it is necessary to set the browser zoom to 100%, open a new browser table and launch INFOSTAT again.

Once clicked on **ACCESS SERVICES** a new window with the Home Page of FEAT/FE129 application will open.

The Home Page of **FEAT** looks like this:

The Home Page of **FE129** looks like this:

The language button is always dispalyed at the top right corner of the screen and can be used at any time to switch between the Italian and English versions.

From the home page, select **Partner** and **Role** to enable the messages menu (see §. 4).

Every message contains all the domain elements for each attribute of the report; these can be selected from the drop-down menu or searched by string or code, depending on the compulsory attributes of each section.[1]

For all messages, the data entered are subject to consistency checks and compliance checks with compulsory requirements; all errors are highlighted.

Errors – if any – are highlighted anytime data are saved; reports must be corrected before they can be sent to the Bank.

Both Administrator and Operator can view and amend any of the reports uploaded by all users authorized by the same Partner.

More specifically, the INFOSTAT portal allows users to view all the messages sent to the Bank, as well as notices, acceptances and/or rejections sent by the Bank; these carry an official protocol number assigned to the activity, which must be quoted in all following communications.

The reporting process is as follows:
- Enter the report with all related components
- Submit the report for checking
- Send the report
- Check receipt of the return-message bearing the protocol number assigned to the report
- Check receipt of the return-message mentioning that the report has been correctly received by the Bank.

Only after the reception of the latter return-message may the reporting process be considered as completed.

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[1] For the definitions of 'domain compulsory attributes' and 'compatibility requirements' see 'Instructions for compiling FEAT and FE129 messages'.

3. General functions

Before describing the procedure to compile and send a message, below is an overview of the screen, toolbar and instructions for navigating through the application pages.

The toolbar contains the functions **Home**, **List of Activities**, **List of Securities**, **List of Securitizations**, **Documents**, **Browse Messages** and **User ID**. Two additional buttons, **Info** and **Exit**, are located on the right.
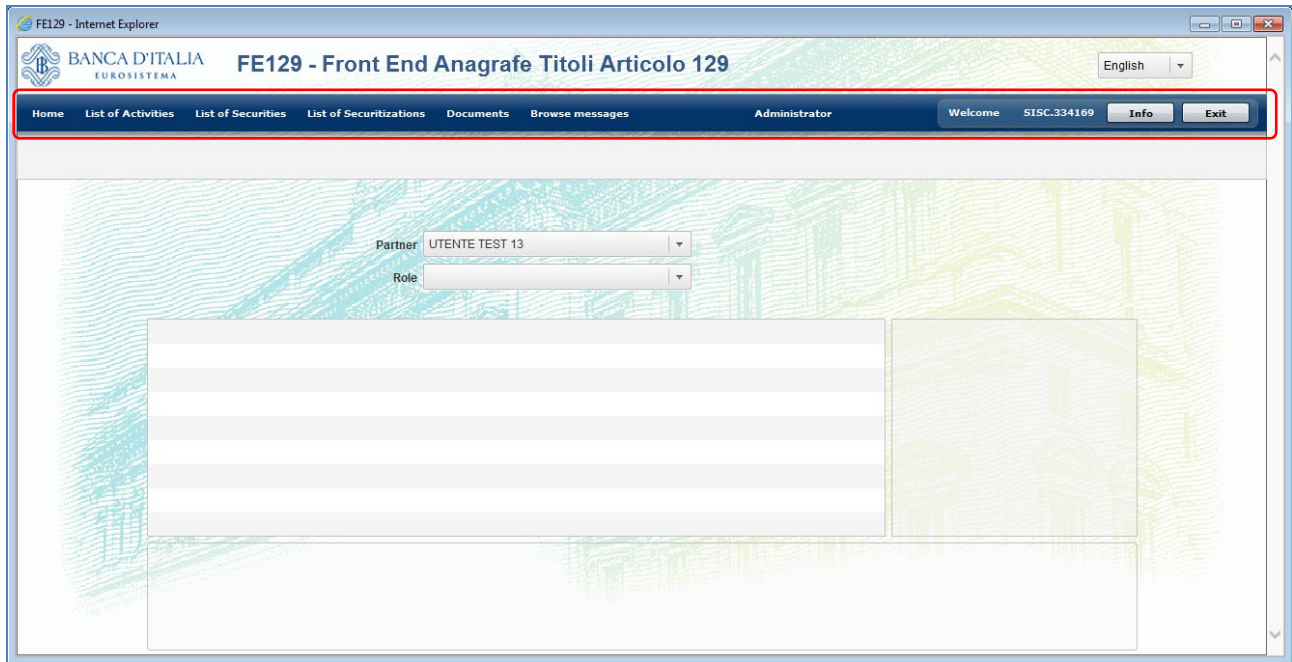
3.1.　Home, Info and Exit

The function **Home** may be activated from every application page and allows to return to the initial menu for the Partner and Role selected.

The **Info** button shows the registered information related to the user connected to the application.
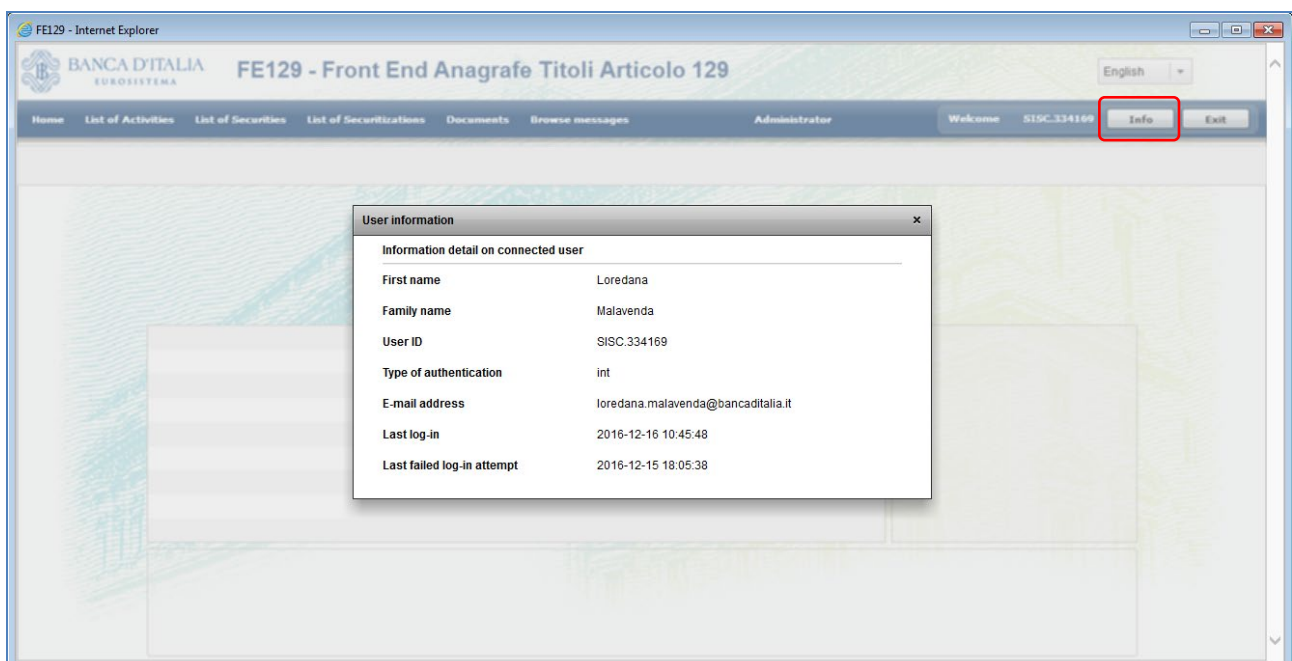
Users should always exit the application by clicking **Exit** as this will run the program to clear obsolete or unused data accumulated during the working session.

3.2.   List of activities

This function is used to search all ongoing or sent activities for the selected **Partner** (mandatory field).

The search can be filtered by **Role** and by activity **Status, User**, **ISIN Code** or **Issuer**.

The **Status** of an activity _under compilation_ may be:
- Saved with Errors;
- Valid data – attachment with error;
- To be processed (only for Communications of FEAT Updates);
- To be sent.

When errors are removed from a "Saved with errors" activity or attachments are included to a "Valid data – attachment with errors" one, then the status turns to "To be sent".

The **Status** of an activity _already sent_ may be:
- Sent;
- Sent – Notified;
- Sent – Rejected.

The activity status is set to "_Sent"_ until a 'notified' or 'rejected' return-message is received from the Bank, then it becomes either "_Sent – Notified"_ or "_Sent – Rejected"._

After selecting the filters and clicking on the **Search** button**,** the activities will appear with the following information:

After the search, select **Financial Instrument** and/or **Type of activity** to filter the results.

By selecting an activity _under compilation_ (**Status**: _Saved with errors_, _Valid data – attachment with error_, _To be Sent_ or _To be processed_) you can:

• Open it by clicking **Browse** or double clicking on the activity;

• Delete it by clicking **Delete**;

• Send it by clicking **Deliver**, but only if the activity's status is _"To be Sent"_.

When an activity is opened, the related information are displayed and one or more functional buttons, depending on the status, are enabled in the bottom left side of the window (**Restore**, **Save**, **Deliver**, **Export**, **Create Activity** and **Process**). For the details on the use of the buttons, please refer to §5 and following.

By selecting an activity *already sent* (status: *Sent*, *Sent – Notified*, *Sent – Rejected*) you can:
- Open it by clicking **Browse** or double clicking on the activity
- Delete it by clicking **Delete**; this function is only enabled when an outcome has been notified, i.e. *Sent – Notified* and *Sent – Rejected*.

The system automatically deletes *Sent – Notified* activities from the list a few days after notification.

3.3.   Securities List

This function allows access to the Bank's BI security database to consult data on securities according to their specific features.

The selection of **Partner** and **Role** is mandatory. Roles other than Issuer require to specify the securities issuer, For further details see § 3.3.1.

Furthermore the following search criteria are available: **Instrument** (type of security), **ISIN Code**, **Dissemination** (Yes, No) and **ISIN code**.

For the Reporting Agent role, the field **Dissemination** is automatically set to Y as only disseminated securities can be searched.

The **Financial Instrument** menu lists all the types of security for which the **Partner** is enabled to send reports, according to the **Role** he has been selected.

Once the Partner and Role have been set, FEAT displays more types of Financial Instruments than FE129:

After having set the search criteria, click on **Search** to display the list of securities matching the selected criteria.

By selecting a security on the list you can:

- Display data retrieved from the BI security database by clicking on **Display** or double clicking on the security;
- Display listing data retrieved from the BI security database by clicking on **Display Listing Data**;
- Display quarterly data on Certificates/CW retrieved from the BI Security Database, by clicking on **Browse quarterly data**.

If the search criterion is the full ISIN code (12 characters including check digit) a check is run to ensure if such a code is present in the BI security database, regardless of the other search parameters (explicit or implicit). The resulting list shows the column **Search Criteria** at the rightmost end, indicating whether the set of search parameters are valid.

The **Search Criteria** parameter can assume one of the following values:
- **Blank**: the security exists and matches the search parameters. In this case the security (or its listing data) can be displayed.

- **INVALID ISSUER**: the security exists but the selected issuer is not correct. In this case only the ISIN code is displayed and it is not possible to browse the security details (or its listing data). When selecting the security for display, the following error notification pops up.

- **INVALID PARAMETER**: the security exists, the issuer selected is correct, but it has different features from those set as search parameters (**Financial Instrument**, **Dissemination**, **129 Status**). The security (or its listing data) can be displayed, but when it is selected a pop-up appears asking whether to continue or cancel the process.
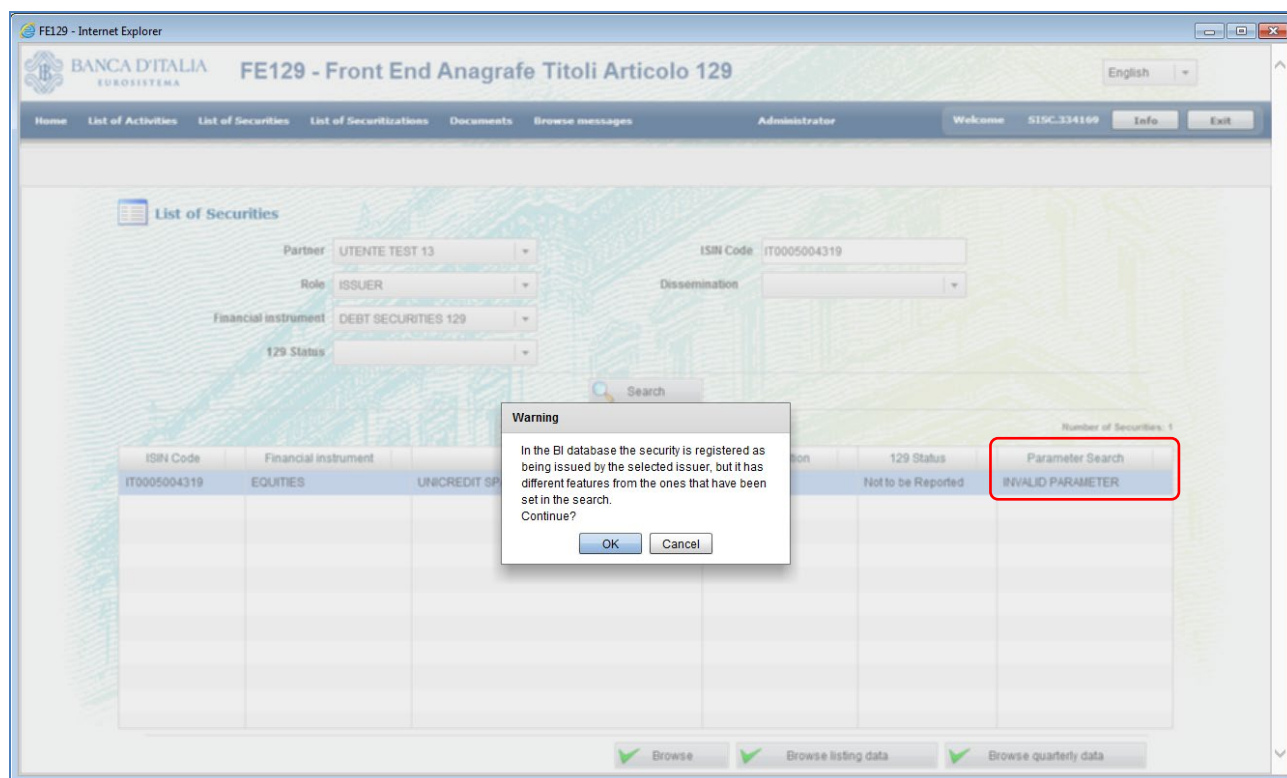
- **TRIM**: the Certificate/Covered Warrant is registered and has been issued by the selected issuer. It is possible to browse its details and its quarterly reported data as well.
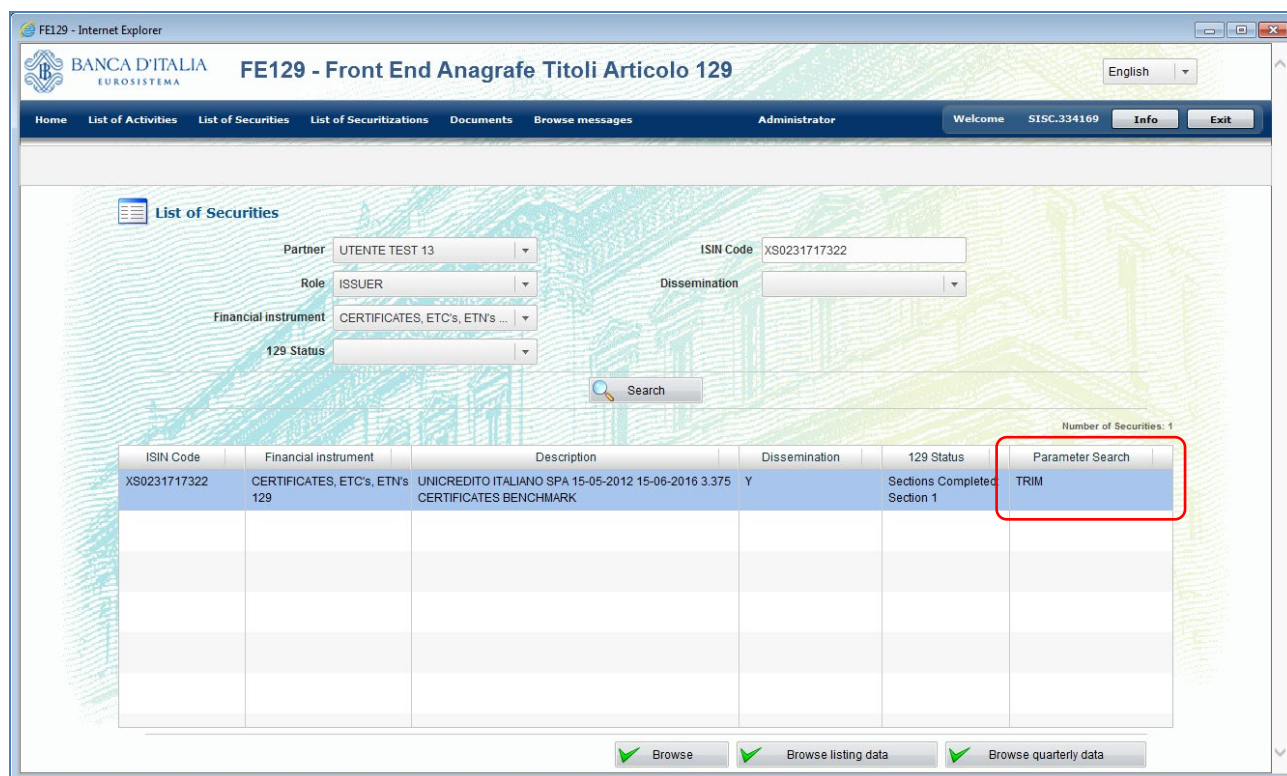
- **NO TRIM**: the Certificate/Covered Warrant is registered and has been issued by the selected issuer. No quarterly reporting has been performed yet. Information details and listing data can be browsed but when clicking on **Browse Quarterly Data** the following pop-up appears.
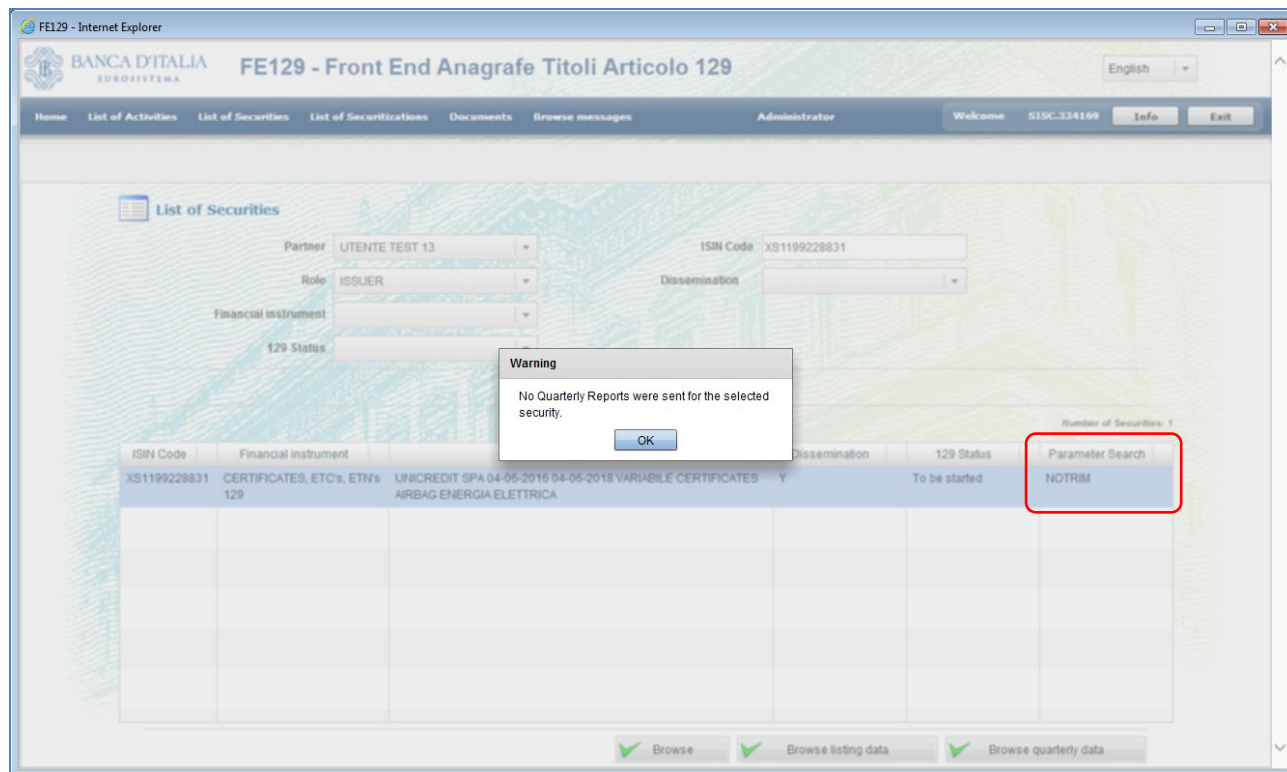
PLACEMENT AGENT ROLE

For FEAT Placement Agent Role the list of securities produced by the search also shows the column **Partner Placement Agent-Offeror**, which may have the following values:
- Y: where the Partner actually places the security. Only in this case can the security be selected and displayed
- N: where the Partner does not place the security. If the security is still not disseminated (**Dissemination** = N) the **Description** is not displayed.
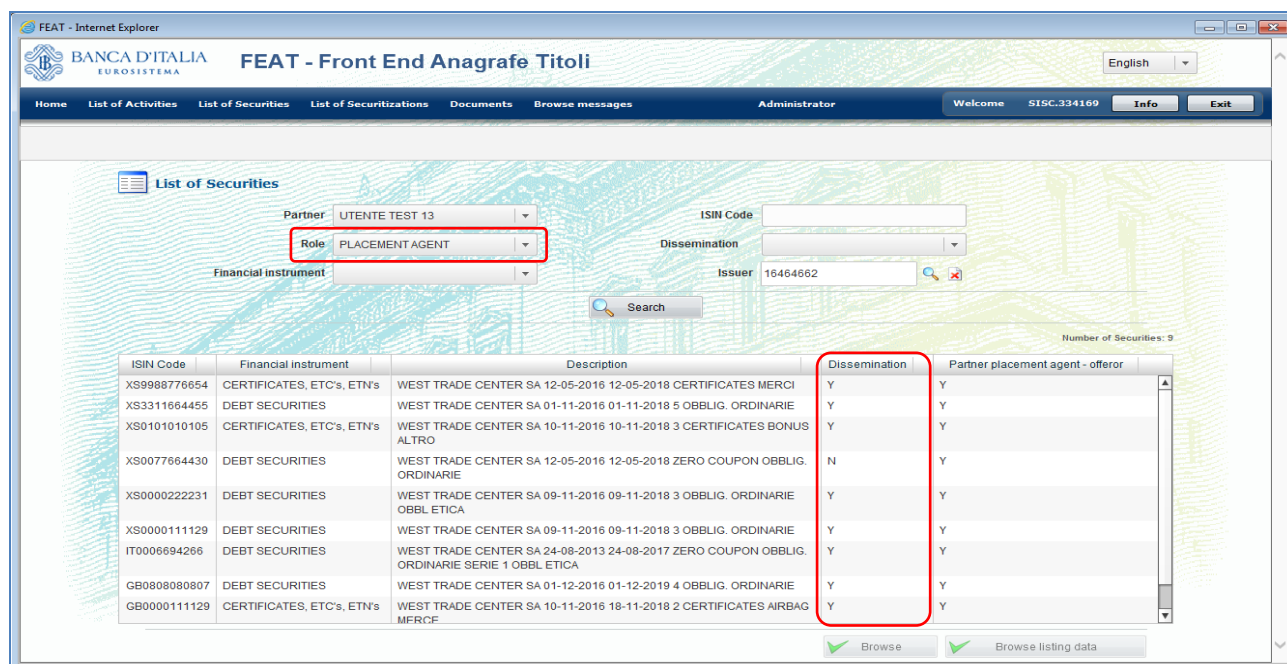
Moreover, if the Partner is not the Placement Agent, the security details cannot be displayed: after selecting the security for display, the message below appears
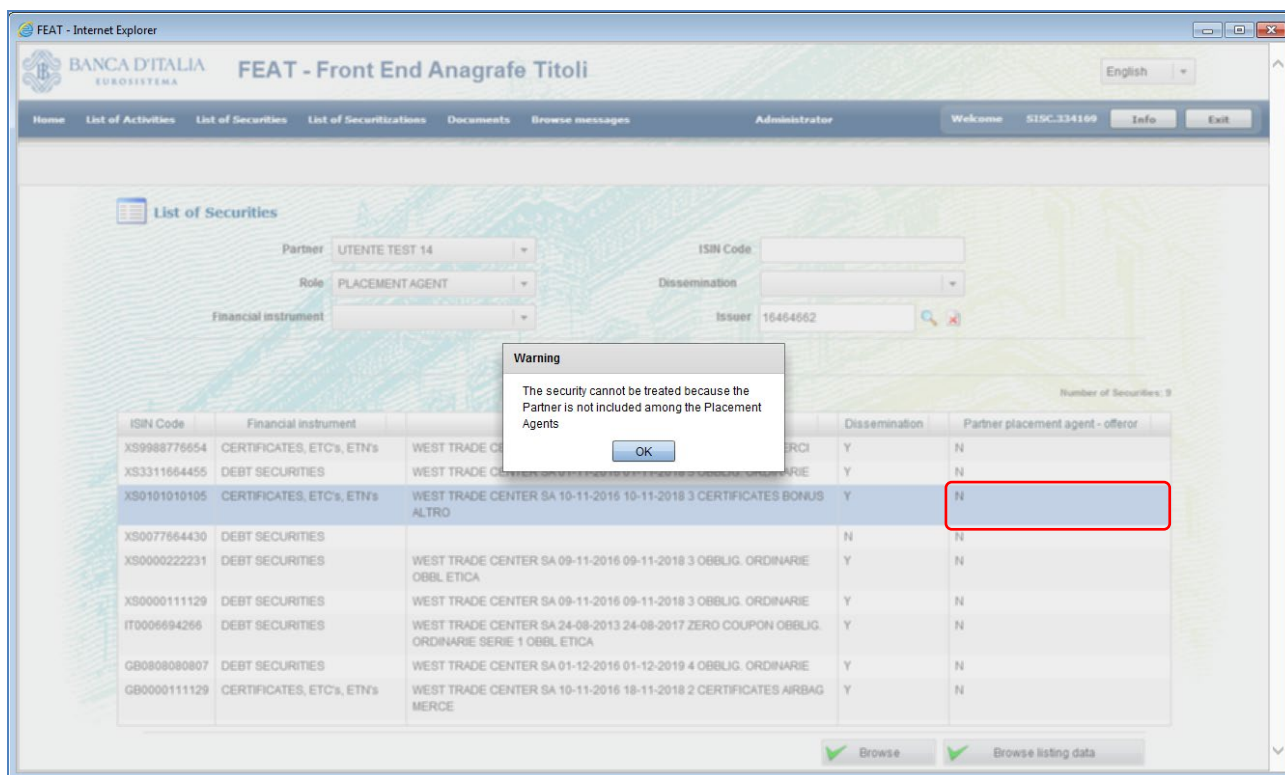
FE129 ROLES – ADDITIONAL FIELDS

In FE129 the Securities List allows an additional search criterion, i.e. **129 Status**, which correspond to the state of progress of 129 reporting

129 Status is displayed in the list of securities panel:

In FE129, where **Instrument** is not set as a search criterion, the list of securities produced by the search will contain all the securities issued by the **Partner**, including those out of scope for the reporting.

For FE129 Placement Agent, the resulting securities list shows further attributes :

- ➢ **Placement Terms** of the security
- ➢ **Placement Agent Role** within the placement

3.4. Securitizations List

This function is only available for Italian FVCs (Financial vehicle corporations) and allows browsing data on Securitizations engaged by the Partner.
The only available search criterion is **Securitization ID**.
By clicking on **Search** the list of securitizations associated with the Partner is displayed.

Securitizations can be selected from the list to display all the relevant information in the BI security database by clicking on **Browse** or double clicking the securitization.
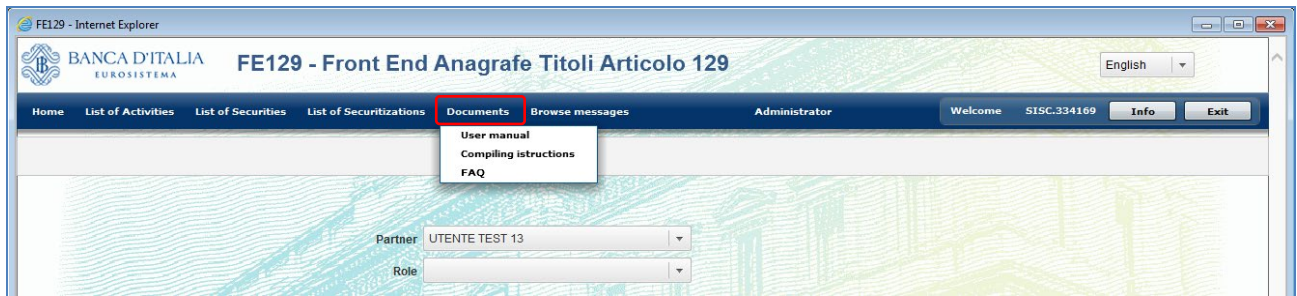
3.5. **Documentation**

The drop-down menu displays the general documentation for the application:
- Operating manual (this document)
- Instructions for compiling FEAT and FE129 messages
- FAQ.

3.6. **Browse Messages**

Messages between a Partner and the Bank have a progressive number (protocol) set by the application and may include one or more attachments (e.g. reporting flows, documents, notifications, rejections). To display the messages received or sent by the Partner (e.g. relating to the Send process) select from the toolbar the item **Browse Messages** or use the button **Messages** in the INFOSTAT homepage to the right of the button **ACCESS SERVICES**.
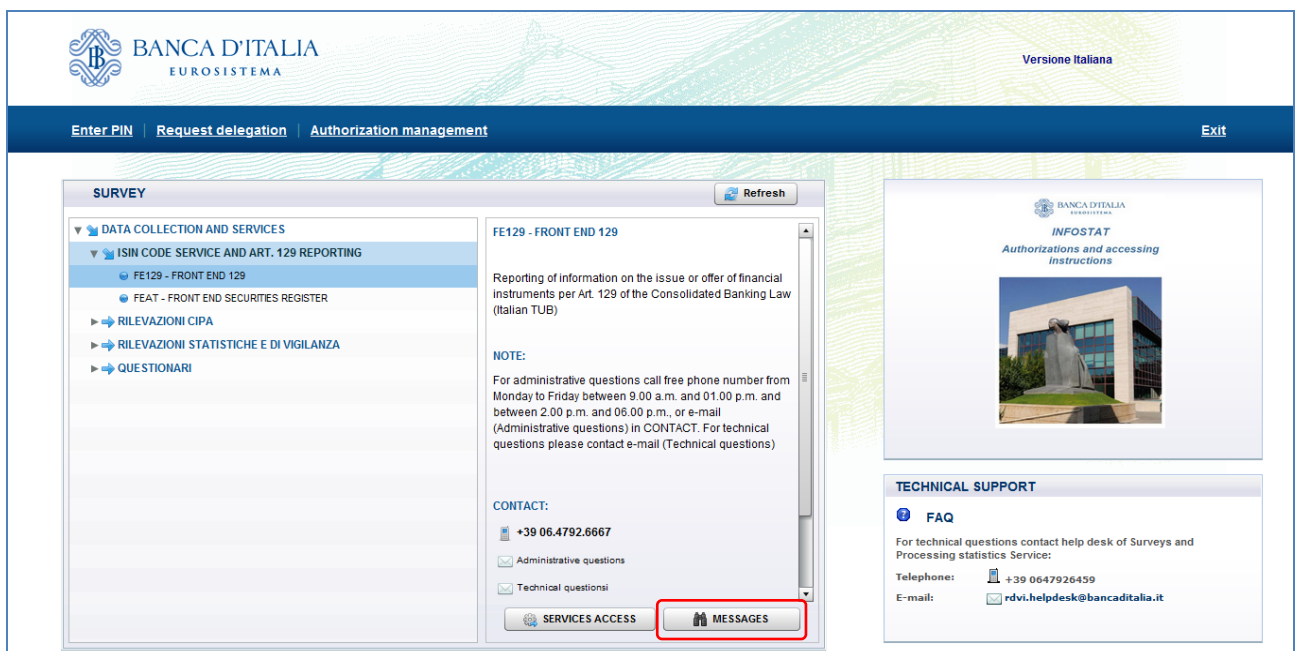
The view function has two separate sections for **Message Sent** (e.g. reporting) and **Message Received** (e.g. notices, rejections).

Both ways of access open the following panel in which some search options are available (**Partner** , **Type of message**, **Most recent message**)[2]. The search by **Survey** is automatically set on the basis of the survey previously selected and it cannot be varied.

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[2] In the Section Message Sent additional search criteria are available such as **Send Type** and **Source of Message**. These criteria are set to constant values 'Invio Ufficiale (Official sending)' and 'Data entry' for the applications FEAT/FE129.

The **Messages** function allows to browse the main reference data of messages and their relevant attachments; furthermore it gives the option to browse through a complete list of messages, the most recent message or only the ones that have been received within a predetermined period of time.

It is also possible to browse the details of a single message by selecting its **Protocol N.**; its attachments will be shown in the general window or in the detail pop-up and may be selected through the download icon.
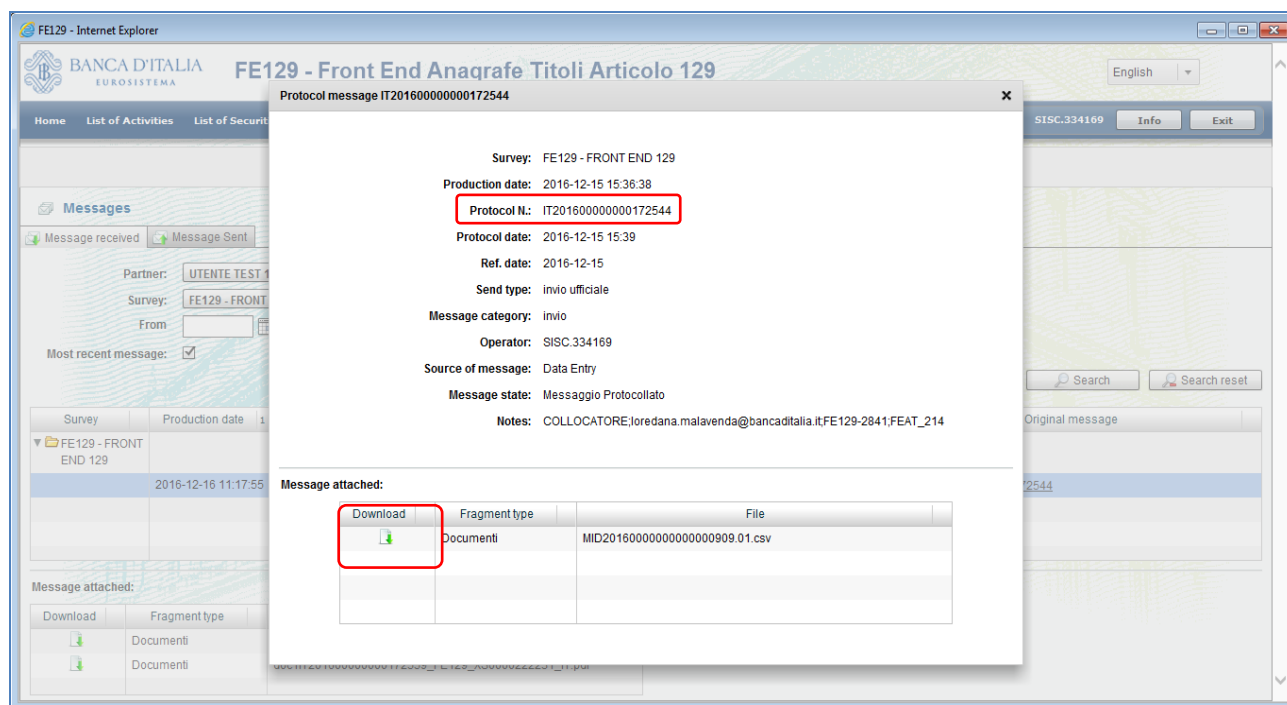
Messages sent/received are often related one to the other. Messages received, especially, may contain a reference to the 'original' message that led to them (e.g. a notification of data acquisition will contain a reference to the message concerning the sent data flow); messages sent may contain a reference to the 'reply' message.

3.6.1. FEAT/FE129 message flows

Below is a description of the flow of messages exchanged between Partner and Bank during the acquisition and processing steps of a FEAT/FE129 report, as they are shown in the sections **Message received** and **Message sent** of the **Message** view function.

1. When despatch of an activity is completed, the sent messages list will include the message forwarded to the Bank with the protocol number it has been assigned.

2. Afterwards, the Partner receives a first message notifying assignment of a protocol number (Message Type: Notification of Protocol): the system assigns the protocol number identifying the message sent and communicates it to the Partner. The field **Original message** bears the protocol number of the sent message.

3. The activity is transferred and processed in the Back-End of BI Securities Database.

4. The outcome of the acquisition of the activity sent is notified to the Partner by:

a) message with Message Type: Notification ('notifica') for positive outcomes:

b) message with Message Type: Discard ('scarto') for negative outcomes:

In both cases the field **Original Message** will bear the message protocol number as referred to the one sent by the Partner

Every Notification and Discard message has one or more documents attached containing information on the acquisition (e.g. ISIN code assigned, reason for discard, etc.), as well as the protocol number of the message sent by the Partner to which the Notification/Discard message refers and the identification of the activity (FEAT-) to which the message sent relates.

5. At the end of the process, in the section **Message sent** the Partner original message will be linked to the notification/discard message issued by the Bank. Therefore in the field **Reply message** will be shown the protocol of the acquisition outcome as determined by the Bank.

3.7. *Facilities for the management of entities*

The following facilities are useful for the management of entities different from the reporting Partner.

The functioning of the facilities varies depending on the type of *role* of the entity involved:
- <u>Issuer</u>: the application provides the users with browsing, registration and update facilities (see § 3.7.1). The browsing facility allows users to search for a requested issuer within the BI Securities Database according to a specific perimeter search. If the search doesn't return any result, it will be possible to proceed to the issuer's registration only for resident issuers – within FEAT application – by means of a specific function (see § 3.7.2).

- <u>Other entities who are somehow involved in the securities' issues</u> (Parent Company, Lead Manager, Guarantor, Guarantor's Parent Company): the application provides the users with browsing, registration and update facilities (see § 3.7.3). The browsing facility allows users to search for the requested entity within the BI Securities Database. If the search doesn't return any result, it will be possible to proceed to the issuer's registration by means of a specific function (see § 3.7.4).

3.7.1. Issuer selection

The **Issuer** selection field is enabled for all FEAT and FE129 roles except for the Issuer role. In Request for/Registration of ISIN messages and when searching securities to browse (see § 3.3) or update (see § 4.3) registered information, reporting Partners have to select a third entity as issuer[3].

Below is a description about the functioning and the search perimeter of the "Issuer Selection" facility for the different operating roles.

PARENT COMPANY ROLE (FE129)

The search covers all non-resident entities belonging to the banking group whose parent company is the reporting Partner.

By clicking on **List of Securities:**

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[3] As a matter of fact, by selecting the Issuer Role – therefore acting as issuer – the Partner is automatically set
- as issuer in **Request for/Registration of ISIN** messages.
- as search criterion in the **Securities List**
- as search criterion in **Search for ISIN to update** (see § 4) for the creation of update communications

By clicking on **Search ISIN to update** after selecting a Registration of ISIN or an Update message:

By clicking on **Compile** after selecting a Request for ISIN message:

In all the cases described, the issuer search is activated by clicking on the magnifier icon located on the right of the field. In the following window, after clicking the **Search** button, a list of entities matching the criteria is displayed, from which the requested entity may be selected by means of the **Select** button.

Whenever the search with the entered parameters does not return any results (entity not found or list empty) a pop-up will advise the user to contact the Bank's competent Supervision Division.
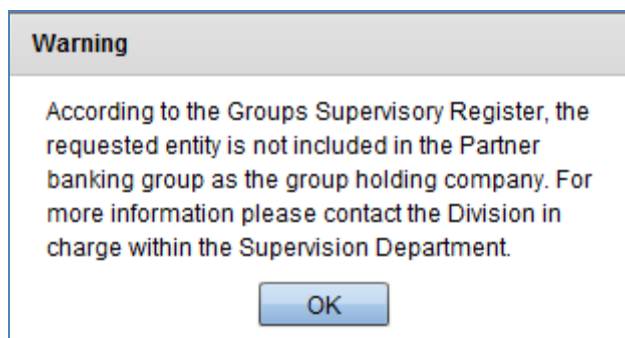
The entity (belonging to the banking group of which the Partner is parent company) may not be registered within the BI Securities database. If so, when searching the securities issued by the entity a pop-up will appear asking to register the entity by sending a request to titoli.estero@bancaditalia.it.
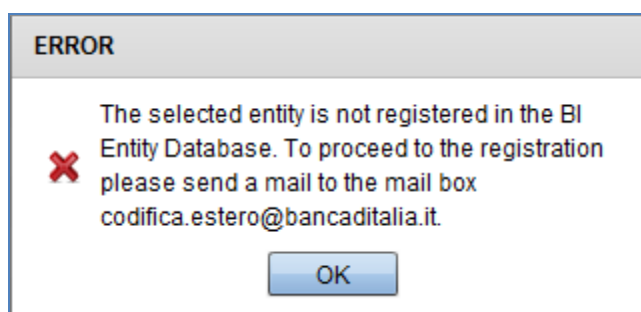
PLACEMENT AGENT ROLE (FEAT-FE129)

To start a search click on the magnifier icon located on the right of the field **Issuer.** In FEAT the issuer's place of residence is to be previously set, whereas in FE129 this step is not requested as placement agents are to report only securities issued by non-resident issuers.

By clicking on **List of Securities**:

By clicking on **Search ISIN to update** after selecting an Update message[4]:

By clicking on **Compile** after selecting a Request for ISIN message:

The prior selection of resident issuers ("**Italian**") starts the following window in which the **Tax Code** is to be filled in the complete extension whereas **LEI code** and **Entity Full Name** may be inserted also in a partial form.

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[4] The "Registration of ISIN" message doesn't request to previously set the issuer's place of residence because the placement agent is allowed to register only the securities issued by resident issuers.

The prior selection of non-resident issuers ("**Foreign**") starts the following window in which the **Entity Code** is to be filled in the complete extension whereas **LEI code** and **Entity Full Name** may be inserted also in a partial form.

For **FE129** a further three search criteria are automatically set:
- Country of Residence other than Italy;
- Type of entity other than Sovereign State;
- Entity not belonging to a banking group with resident parent company.

After clicking the **Search** button, a list of entities matching the criteria is displayed, from which the requested entity may be selected.

If the search doesn't return the requested result (no issuer found) it is possible to proceed to the issuer's registration by forwarding a "General Communication" bearing the entity's reference attributes.

Only through FEAT function **Compile** is it possible to activate a resident issuer registration within the very Request for ISIN message (see § 3.7.2).

REPORTING ENTITY ROLE (FEAT)

The issuer may be searched only for Italian securities with dissemination status = Y, except for the "Request for ISIN with final data" message for debt securities. The Issuer search is performed by clicking on the magnifier icon located on the right of the field.

The search windows are the same as those described for the Placement Agent Role.

By clicking on **List of Securities**:

By clicking on **Search ISIN to update** after selecting an Update message:

By clicking on **Compile** after selecting a Request for ISIN message:

In case of no result when searching for a non-resident issuer, it is necessary to request the registration by sending a "General Communication" bearing the entity's reference attributes.

Only by clicking on **Compile** within the Request for ISIN message enables the resident issuer registration (see § 3.7.2).

3.7.2. Issuer registration (FEAT)

The facility is available only within FEAT application and only for resident issuers. If the security issuer has not been found in the BI Securities Database, it can be registered via the "Start Registration" button available in the issuer search window within the compilation (**Compile** button) of a request for ISIN message.

The "Start Registration" button is enabled only after having performed at least one search with any criteria.

To start the registration it is required to indicate the tax code of the issuer to be registered.

To start the registration it is required to enter a valid tax code.

The registration is started only if, by clicking on the "Start Registration" button, the tax code indicated has not been found in the BI Securities Database.

The Request for ISIN message is automatically created with the additional section "**Registration Data for Issuer**", in which it is mandatory to enter all data required for the registration. The registration data section could be pre-filled if the tax code has been found in the BI Entities Database. The pre-filled data are editable.

3.7.3. Selection of Entity other than Issuer

The selection of entities somehow involved in the security issue (Parent Company, Lead Manager, Guarantor Parent Company) is enabled in the body of all messages that may enter or update information in the section **Financial Instrument Information**.

The search is performed clicking on the magnifier icon located on the right of the field. The selection facility allows the search of the entity in the BI Securities Database. If the search returns no result it will be possible to proceed to the entity registration using the specific function (see § 3.7.4).

For resident entities the search parameters are the Taxpayer code, the Entity name, the Subgroup of economic activity and the LEI code.

For non-resident entities the search parameters are the BI entity code, the Entity name, the Subgroup of economic activity, the Country of residence and the LEI code.

3.7.4. Registration of entity other than Issuer

Again, with regard to all messages that may enter or update information in the section **Financial Instrument Information**, in the window that opens when the entities search is enabled (see previous paragraph) the registration procedure is available. More specifically, if the search doesn't return any result it will be possible to activate the registration of the entity (Parent Company, Lead Manager, Guarantor Parent Company) by clicking on the button **Start Registration.**

For resident entities the "**Start Registration**" button is enabled only after having performed at least one search with any criteria. The search windows and the checks related to the registration procedure are the same as those described for the Issuer Registration (§3.7.2).

For non-resident entities the registration procedure is enabled since the opening of the search window. By clicking on the "Start Registration" button it will displayed the following window:
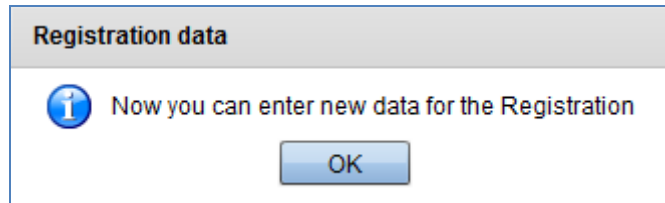
Consequently, both for resident and non-resident entities, the section bearing the fields related to the entity reference attributes will be added to the selected message form. Depending on the type of entity, the following templates are available:

- Registration data for Issuer Parent Company
- Registration data for Lead Manager
- Registration data for Guarantor
- Registration data for Guarantor Parent Company

The registration data sections for resident entities could be pre-filled if the tax code has been found in the BI Entities Database. The pre-filled data are editable.

4. Access to messages

There are two main types of messages forwarded to the Bank:
- <u>Reporting of a new security</u> in the BI Securities Database (e.g. Request for/Registration of ISIN);
- <u>Update of securities already registered</u> in the BI Securities Database (e.g. Communication of final data, Communication of 129 reference attributes - Section 1, Communication of redemptions)

Compiling a message may be performed either by <u>starting a new activity</u> or <u>by continuing a previously saved one</u>. In the latter case the activity status may be not yet completed or completed but not yet forwarded to the Bank.

Messages – whatever their type and whatever their completion status – are accessed from the home page. To browse available messages it is necessary

Step 1: enter the field **Partner** and **Role.**

The list of Partners for which the user is authorized appears in the drop-down menu of the field **Partner.**
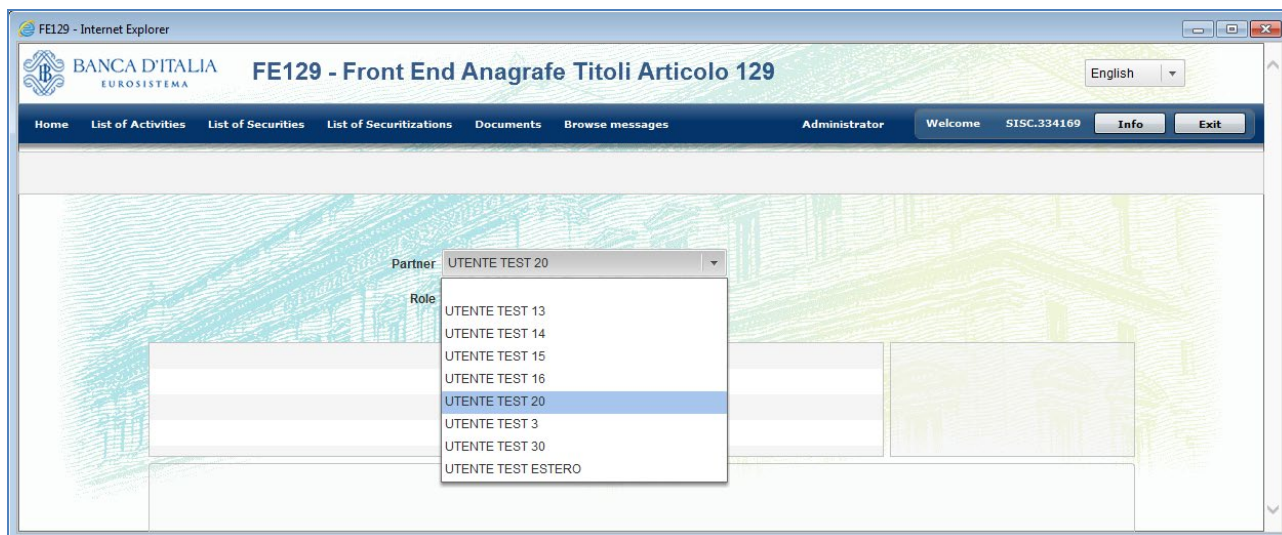
Each Partner can be authorized for one or more Roles:
- For FEAT: Issuer, Placement Agent, Reporting Entity;

- For FE129: Issuer, Placement Agent, Parent Company.

After selecting the Partner, select the **Role** under which the report is made.

After the selection, the messages available for the **Partner** are displayed grouped by type of financial instrument (e.g. Debt Security, Equity, Warrant, etc.). The range of the available messages depends on the selected **Role**
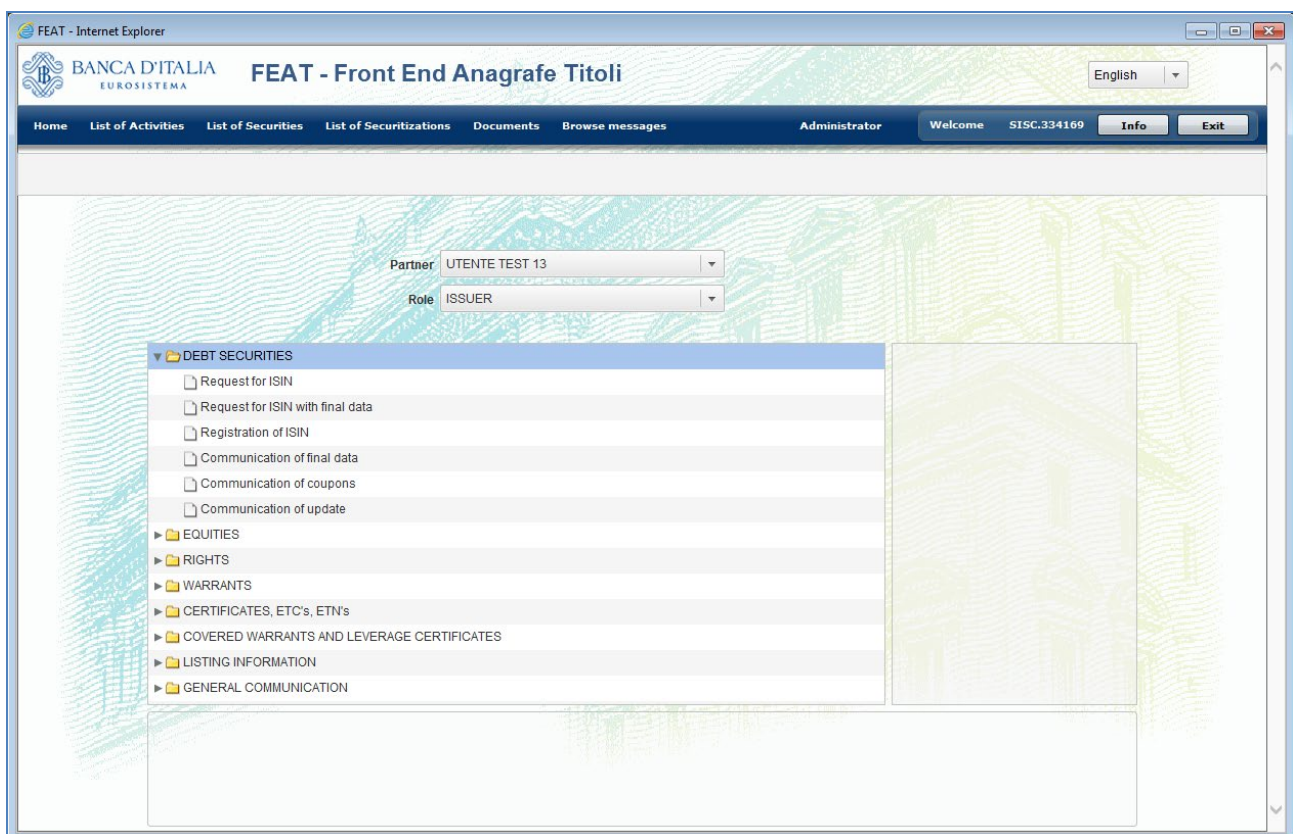
Step 2: select a specific message.

Selecting a message opens a window on the right of the screen and one section below.
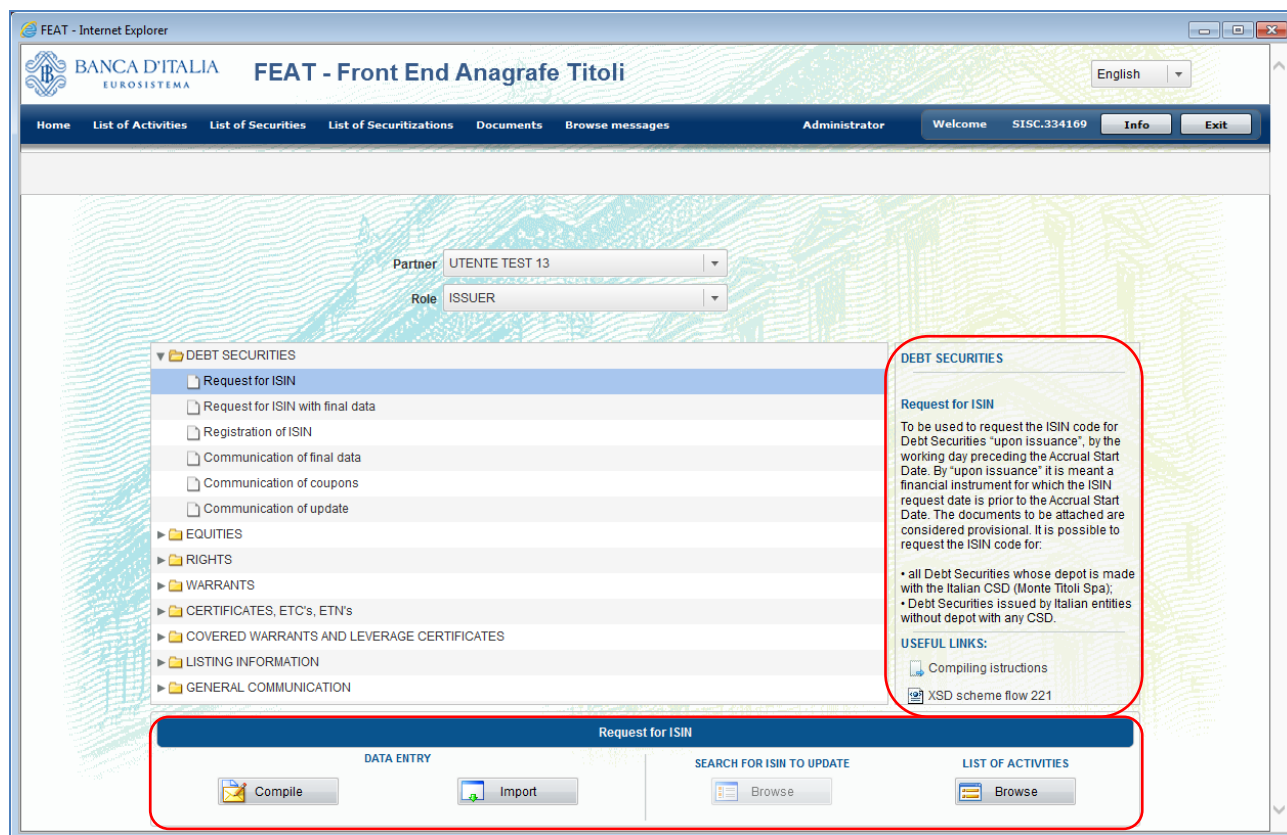
The window contains:
- A brief description of the selected message;
- A link to the "Instructions for compiling FEAT and FE129 messages";
- A link to download the xsd file for the message selected (where available).

The section at the bottom includes the functional buttons to manage the messages that will be subsequently forwarded to the Bank:

- On the left (**DATA ENTRY**) are displayed the functions to fill in the messages (**Compile** and **Import**)
- on the right is located a function to search existing securities in the BI securities database in order to create update messages (**Search ISIN for updating**) and another one to browse the ongoing activities (**List of Activities** §3.2) for Partner, Role and Type of message.

The buttons are enabled according to the type of selected message. As previously mentioned, the range of available message types depends on the selected role.

The messages' compiling process may be enabled only by clicking on one of the four buttons below, each of them is associated to a specific function.

Once Partner, Role and Type of message the four button are displayed and are associated to the following functions.

The button **<u>Compile</u>** allows:
- to create a new activity to request for new securities with IT ISIN code prefix or to produce a general communication.
- to continue the editing of a previously saved message.

The button **<u>Import</u>** allows:
- to import a csv. or xml. file in order to upload the information related to non-massive Registration of/Request for ISIN messages and Communication of coupons/amount placed/early redemptions.
- To import massive files in FEAT for Requests for ISIN and Communications of final data related to Covered Warrant and Leverage Certificates. For all the remaining massive messages the button is enabled within the single messages but not the Home page.

The button **<u>Search for ISIN to update</u>** allows:
- to select a security as registered in the BI Securities Database in order to create an update activity.
- to create a registration activity for all securities whose ISIN code prefix is different from IT, after having checked their registration in the BI Securities Database. The button is enabled for all non-massive update messages.

The button **<u>List of activities</u>** allows:
- To search, browse and edit whatever previously saved activity which has not been forwarded to the Bank yet.
- To forward to the Bank activities with "To be delivered" status.

Hereunder is the description of the buttons' working.

4.1. Compile

The button **Compile** allows:
- to create a new activity for new IT ISIN codes or for General Communications.
- to continue whatever type of previously saved message.

The button is enabled only after a specific message type has been selected.

As mentioned before, the editing of previously saved activities may be performed irrespective of the type of survey (FEAT or FE129) and of the Partner role (Issuer, Placement agent, Reporting agent, Parent company). On the contrary, the option to create a new activity is enabled only for Requests for ISIN and General Communications irrespective of type of survey and role.

Clicking on **Compile** it is possible to access to the page in which to select **New (A)** or **"Continue previous activity" (B).**

> **(A)** By clicking on **"New activity"**, the button "New" becomes active and allows the creation of a new empty activity.

In FEAT, for Requests for ISIN relating to Equities and Warrants by Issuer Role, clicking on **Create** issues the warning to verify the existence of any ISIN codes already assigned to the instruments.

> **(B)** Selecting **"Continue Previous Activity"** the list of the ongoing activities is shown from which it is possible to select a single activity by clicking **Edit** or double clicking on the activity.

For all messages except **Request for ISIN** and **General Communication** (i.e registration of securities whose ISIN code prefix is different from IT and update messages) the button **Compile** only allows the progression of a previously saved activity but not the creation of a new one.

Therefore, when clicking on **Compile**, a pop-up warns to select the security using the function **Search for ISIN to update** (§ 4.3) in order to start a new update activity or a to create an ISIN registration/request one if the security is not yet registered in the BI Securities Database.
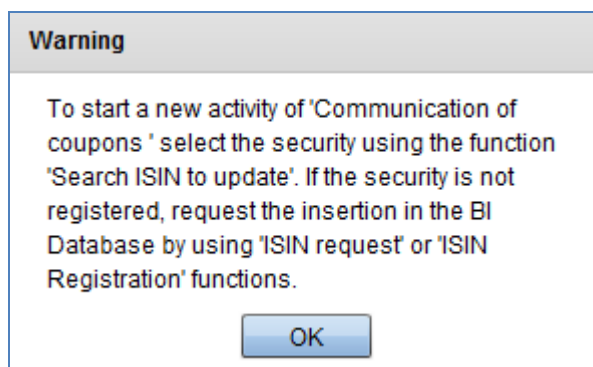
Clicking OK, the list of previously saved activities is enabled. A specific activity can be opened by selecting it and clicking **Edit** button or double-clicking on the activity.

Number of Activities	Description	Status	ISIN Code	Last modified	Issuer
FE129-2986	TITOLI DI DEBITO 129 - Comunicazione cedole	Saved with errors	IT0001430377	27-12-2016 12:44	00348170101
FE129-2958	TITOLI DI DEBITO 129 - Comunicazione cedole	Saved with errors	IT0005004921	20-12-2016 18:28	00348170101

List of Activities   Number of Activities: 2

Close   Edit

4.2.   Import

The function **Import** allows :

- to import a csv or xml file in order to upload the information related to all non-massive ISIN Registration/Request messages and Coupon/ amount placed /redemption communications.
- to import massive files of Requests for ISIN and Final data communications as regards Covered Warrants and Leverage Certificates (in FEAT). For all the other massive messages, the button is disabled in the Home page but not within each message page.


The button is enabled only after selecting a type of message for which the import function is available.
The function **Import** may be used together with the **Export** one which is located within the messages (see § 5.1.7) in order to download, edit and upload data of securities.
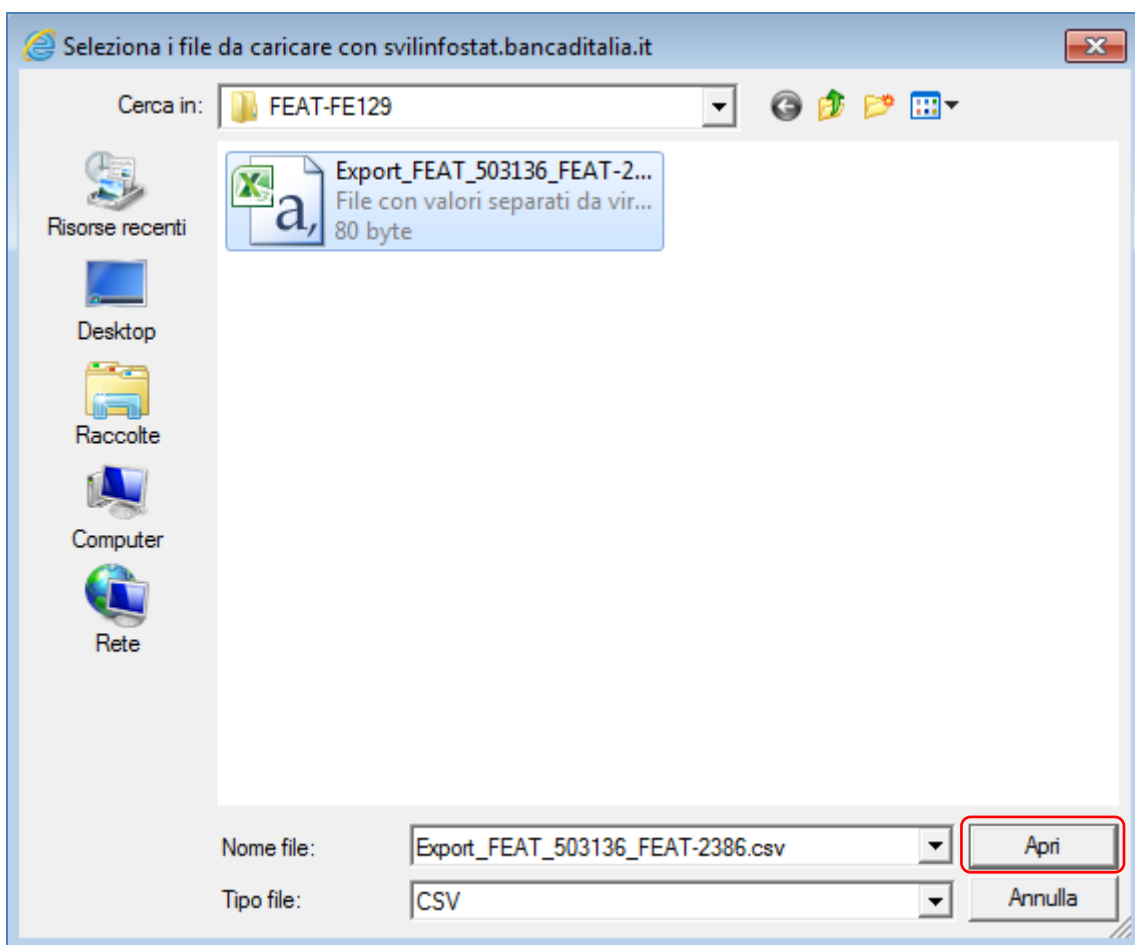
For some messages, on the right side of the page is available the record layout (csv or xsd scheme for xml files) useful to the automatic upload of the information.
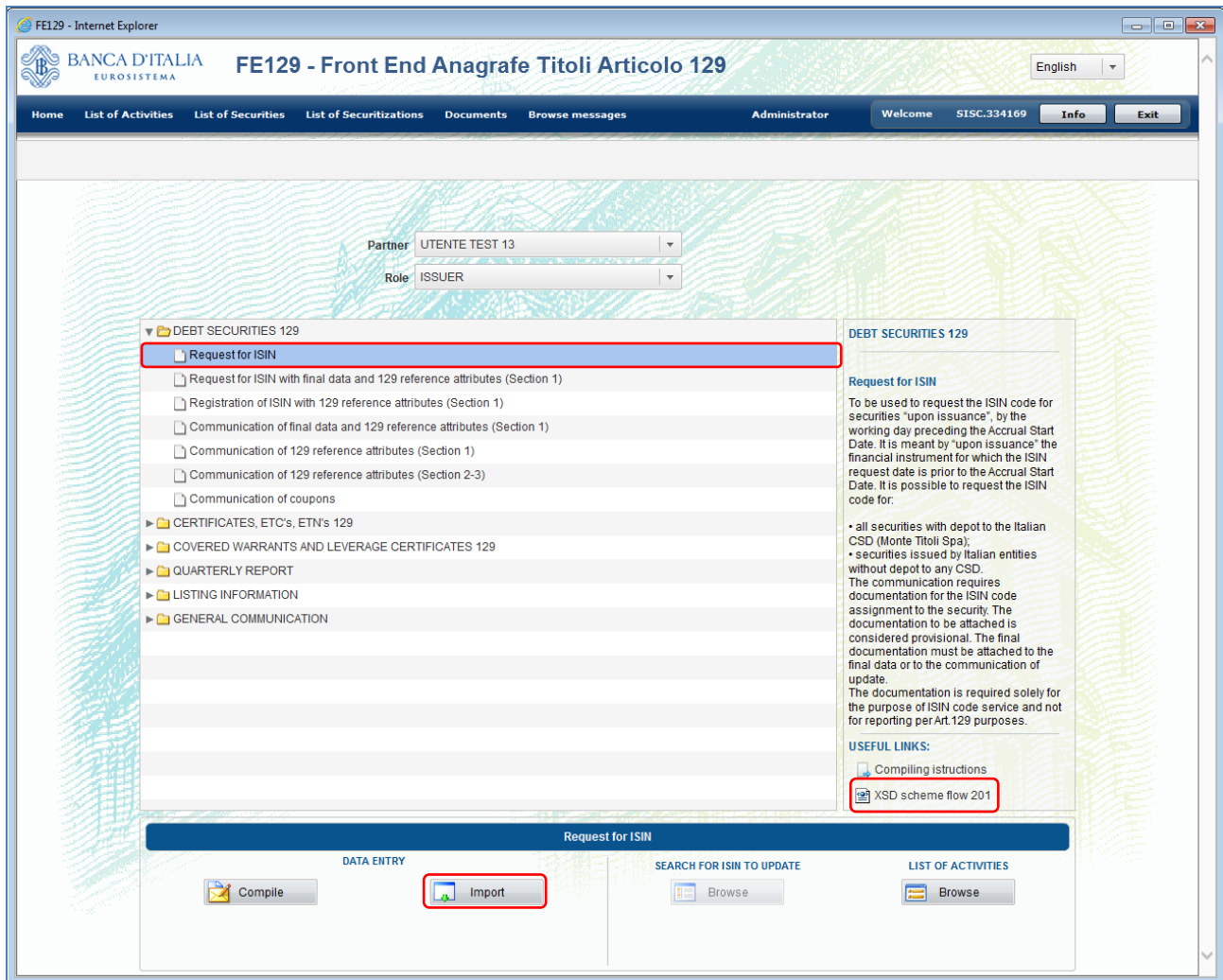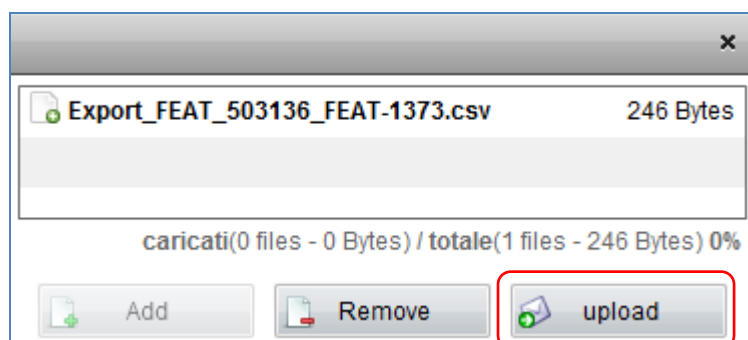
By clicking on the button **Import**, the following pop-up opens:
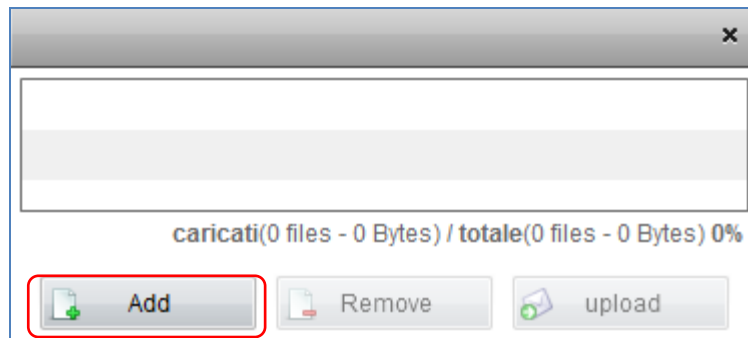
By clicking on the button **Add** a window opens in which, once the file has been selected, it may be uploaded by means of the button '**Apri**' (Open**)**:

Click on the button **Upload** to feed the application with the file data. If no errors are detected a new activity is created.

If the file includes one security only, then the message will show the information uploaded.

In FEAT, when uploading a massive file for a Request for ISIN and a Final data communication referred to Covered Warrants e Leverage Certificates, a compounded activity is created. More specifically, such activity is made up of a "root" node and as many "leaves" as the occurrences existing in the imported file.

4.3. Search for ISIN to Update

The function **Search for ISIN to update** allows:
- to create a new update activity for a security registered in the BI Securities Database. The button is enabled for all non-massive update messages (see § 4.3.1).
- to create a new activity for securities with ISIN prefix other than IT, after having checked that they are not registered in the BI Securities Database. The button is enabled for all non-massive update messages (see § 4.3.2).


For update messages (Communication of Final Data, Communication of Update, Communication of coupons, Communication of 129 Attributes, etc.) and Communication of Listing, a new activity is created taking the information to be updated from the BI security database by clicking on Search for ISIN to Update

4.3.1. Creation of a new update activity

The creation of a new activity requires two steps: selecting the security and the creation of the activity.
In **FE129,** for the Placement role, a short questionnaire may be presented after the security selection. Further details on the questionnaire are available at § 4.3.3.

Step 1: select the security

The function **Search for ISIN to update** replicates the **List of securities**' working and checks (see § 3.3), allowing the search of a single security according to specific parameters.
The button is enabled only after entering the survey, the partner, the role and a specific type of message. Such entered information will be the permanent function's search keys.
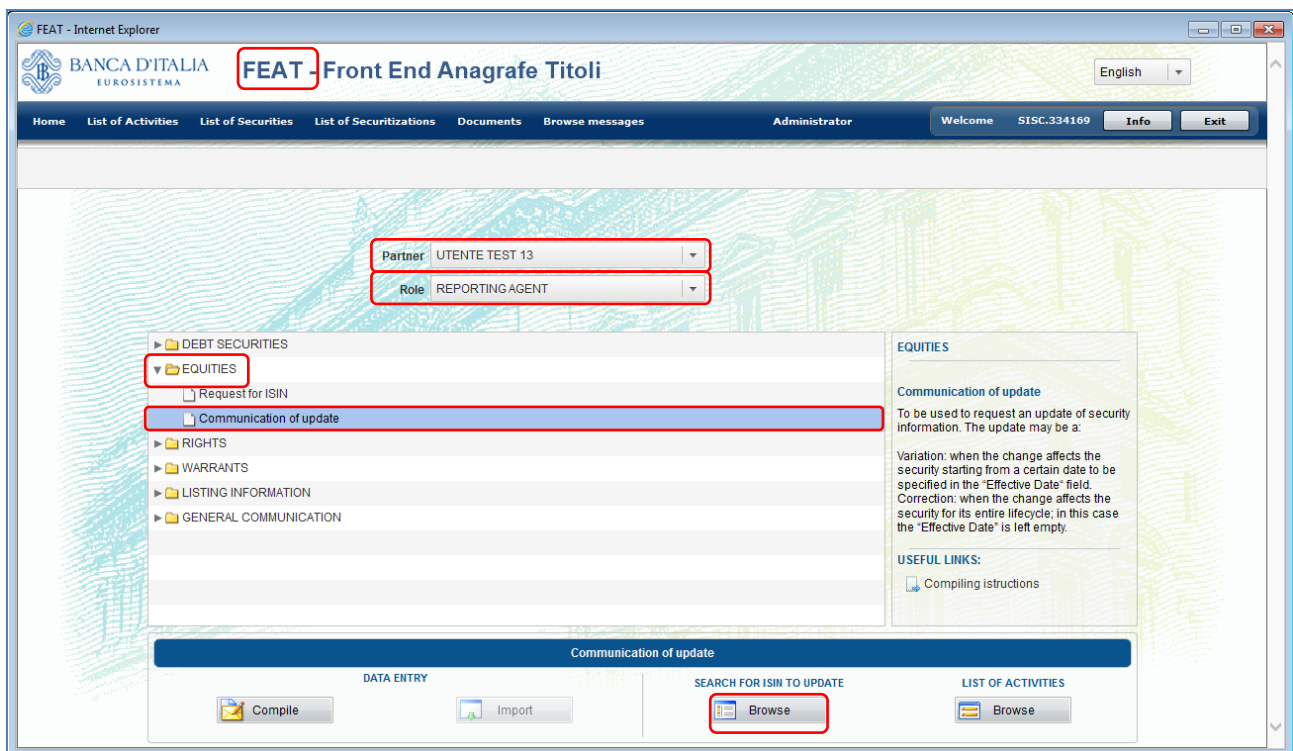
By clicking on the button **Browse**, a pop-up appears providing the user with a simplified search in which additional search parameters may be entered such as
- the **ISIN code**, for all roles
- the **Issuer** for all roles other than Issuer

By clicking on **Search** a list of securities will appear matching the search criteria.

The information showed in the panel list depends on the survey and on the selected role:

- in FEAT, for the Issuer role: ISIN code, Description
- in FEAT, for the Reporting Agent role: ISIN code, Description, Issuer
- in FEAT, for Placement agent role: ISIN code, Description, Partner placement agent – offeror
- in FE129, for the Issuer role: ISIN code, Description, 129 status
- in FE129, for Parent Company role: ISIN code, Description, Issuer, 129 status
- in FE129, for Placement agent role: ISIN code, Description, 129 status, Partner placement agent – offeror, Placement agent role, Placement agent reporter.

The column "Partner placement agent – offeror", which appears either in FEAT or in FE129 for the Placement Agent role, may have the following values:
- Y if the Partner is the placement agent of the security
- N if the Partner is not included in the list of the placement agents

From the securities list it will be possible to select a single security by double clicking on it or by means of the button **Browse** (**Browse listing data** for Communications of listing).

If the security has been searched by entering the ISIN code, if its reference data do not match the other search criteria a pop-up will be issued bearing one of the following error messages

- the security exists but the issuer is different from the one used in the search (Partner for Issuer Role, entity selected for other Roles). A General Communication should be sent to the Bank to correct any inconsistencies.
- The security exists but has a dissemination status different from the one requested for the message selected. In this case, the error pop-up shows the correct message to select.
- The security exists but is of a different type from the one corresponding to the message selected. A message consistent with the type of financial instrument should be selected
- The security exists and is consistent with the message selected, but its type is not available in the FE129 application (e.g. bonds issued before October the 1st 2016, etc.). In this case, the error pop-up indicates the correct application (FEAT).
- The security cannot be selected as the Partner, with Placement Agent role (in FEAT), is not included among the placement agents.

In FE129, the attribute **129 status** – when displayed – provides information on the 129 reporting progress. Furthermore it generates additional consistency checks beyond those reported before.
As previously mentioned, for 129 roles the function **Search for ISIN to Update** returns also the **129 status** column in the securities list.

By clicking on **Browse**, the application runs a control between the security's **129 status** and the type of selected message. As a consequence, the following messages may be displayed

- **Warning** : The 129 reporting is not required. If nonetheless the activity is carried on then all the sections of the reporting are to be completed compulsorily (e.g. the selected security has been issued before October the 1st 2016 and **129 Status** = 0: not due).

- **Error** : The 129 reporting sections 2-3 cannot be sent as the section 1 is still to be received (e.g. if the message selected is Communication of 129 Attributes (Section 2-3) and the 129 Report Section 1 has not been received for the security. **129 Status** = 0: not due, or 1: to be started).

- **Error** : It is not possible to send the Communication of Placement 129 (Section 4) as no Report 129 Section 1 and Section 2-3 has been received for the security (**129 Status** <> 3: acquired Section 2-3).

Step 2: create the update activity

When the security can be selected, by clicking on **Browse** or double clicking on the security the window with the security data appears. At the bottom left the button **Create Activity** is the only one enabled; it can be used to copy the security data into a new activity of the type selected.
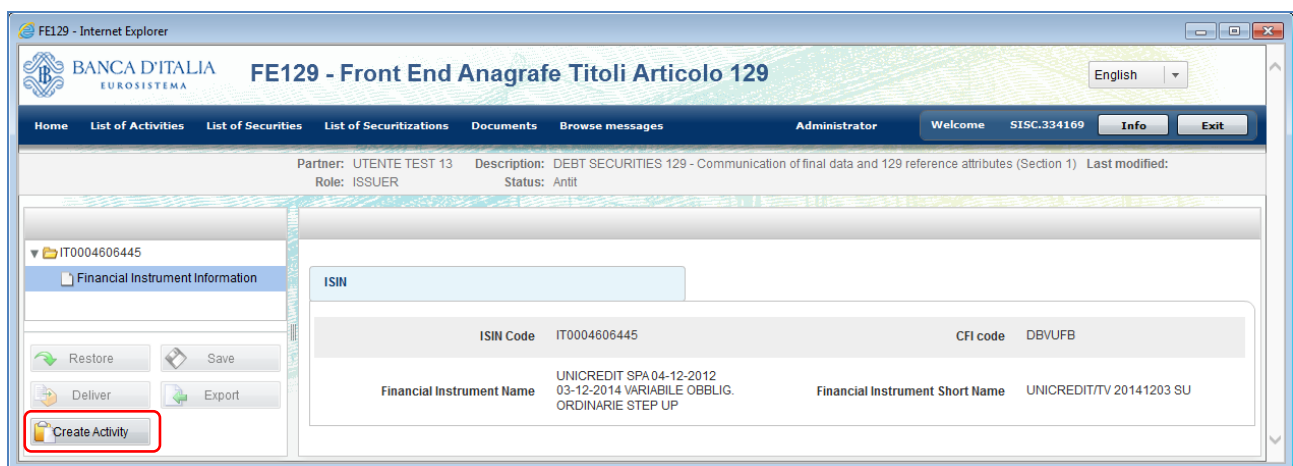
If a similar request is still in progress for the same partner and with the same role, by clicking on the button **Create activity** the pop-up below will be shown
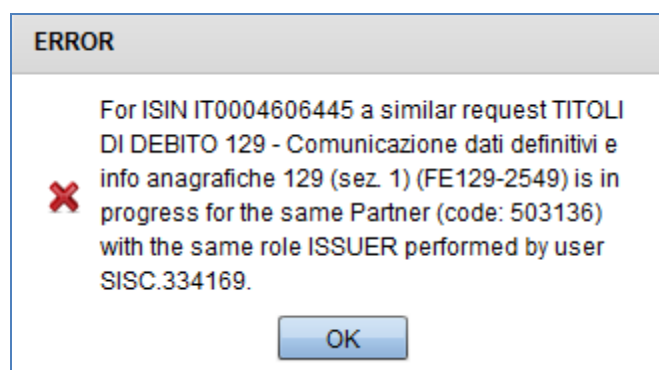
In this case it will be impossible to proceed and the application will go back to the Homepage

If the security has not been already booked in another similar activity, by clicking on the button **Create Activity** a new update activity will be created according to the selected type of message.

The activity will be associated with a unique identifier and will bear the security data as derived from the BI Securities Database. It will be possible then to navigate through the activity sections updating the information where deemed appropriate. The compiling of the different type of messages will be covered in chapter 5.

4.3.2. Creating a new registration activity

The creation of a new registration activity requires two steps: checking the ISIN non-existence in the BI Securities Database and the very creation of the registration activity.

First step: checking the ISIN non-existence in the BI Securities Database

For registrations of ISIN, the creation of a new activity has always to be performed through the button **Search for ISIN to update,** in order to rule out the existence of the security in the BI Securities Database. Therefore, it is mandatory to enter the **ISIN code** of the security as search criterion. For roles other than issuer it will be necessary to enter the issuer too (see § 3.7.1).

The application will therefore check the existence of the ISIN code in the BI Securities Database irrespective of any other search parameters (issuer code and type of security) and will issue a warning if the security is registered but has a different issuer or a different type from the ones entered in the search.

Second step: creating the registration activity

If the ISIN code is not registered with the BI Securities Database, the button **Register** which allows the creation of a new registration activity.

By clicking on **Register** the new registration activity will be created according to the type of security selected.

The activity, univocally associated with an identifier, will bear the ISIN code to be registered and the issuer as previously entered. It will be possible then to navigate through the activity sections entering the required information. In chapter 5 is reported the compilation of messages according to their single type.

If the ISIN code already exists and therefore cannot be registered as a new security, the button **Browse** allows the access to the security data, but only when operating in FEAT.

In the bottom section on the left side of the window showing the security main attributes, the only enabled button is **Create Activity.**

By clicking on such a button it will be possible to create an activity to update the information as existing in the BI Securities Database

4.3.3. Questionnaire for FE129 Placement Agent

The application submits the compiling of a short questionnaire to the FE129 Placement Agent role whenever the creation a new message is performed having effects as per 129 Report.
According to the information provided in the questionnaire, the application automatically sets the Method of placement/offer to be applied to the financial instrument as well as the function performed by the placement agent within the placement operation.

The questionnaire opens with the following display:

The compiling of the questionnaire is performed by selecting options in drop down menus. The selected answers will cause the popping-up of further requests of information. The questionnaire will end up when the application is able to assign the Method of placement/offer and the function to the placement agent.
The values assigned are reported at the bottom of the screen. The user will have then to click on **Confirm**.

By clicking on confirm the user will accept the values automatically assigned to the attributes Method of placement/offer and Function (such attributes will constitute a fundamental part of the reporting) which will undergo consistency checks. As a matter of fact, the application will verify if the values assigned by compiling the questionnaire are consistent with the information registered in the BI Securities Database. If so, it will give access to the message compilation.

4.4. List of activities

The function **List of activities** allows
- to search, browse and continue the compiling of whatever previously saved activity that has not been forwarded to the Bank yet
- to forward to the Bank the activities whose status is 'to be delivered'

As for the function **Search for ISIN to update**, the function **List of activities** replicates the working and the checks of the **List of activity** browsing facility (see 3.2), allowing the search for a single activity according to specific parameters and, for activities not yet delivered, their update/completion.

The button is enabled only after selecting the survey, the partner, the role and a specific type of message. Such information as selected in the Homepage will act as search criteria, to be set before activating the function **List of activities**.
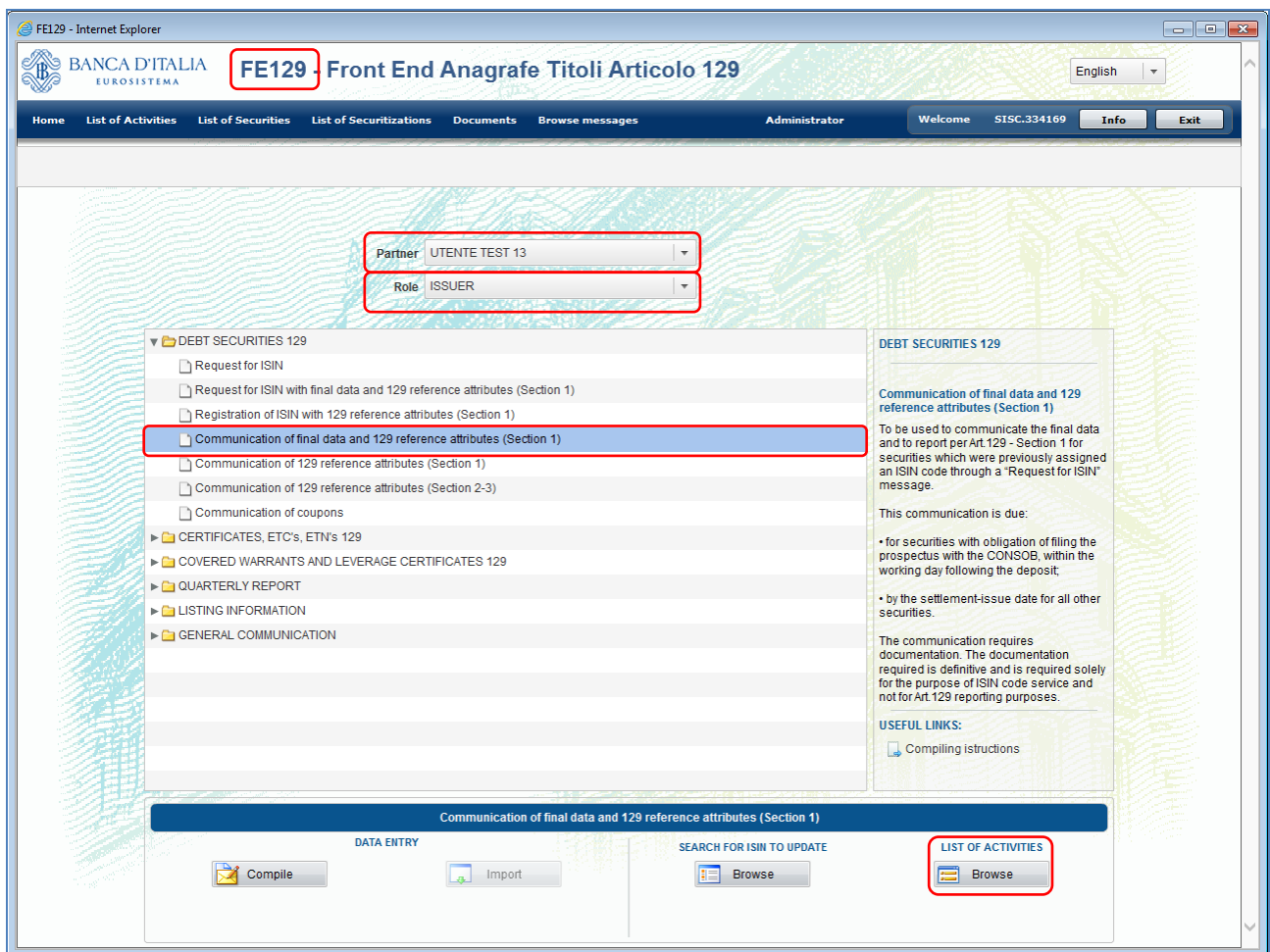
After selecting an ongoing activity (for the status detail, see page 8), it is possible to access the panel in which the activity detail is displayed. In such a panel, the management of the information is enabled through the functional buttons: create activity, restore, save, export, process, deliver

The working of the single buttons for the management and the forwarding of messages to the Bank will be described in the following chapter.

5. Compiling and forwarding of messages

After creating or selecting a new activity it is possible to access the message detail page where information to be forwarded to the Bank may be entered.

The detail page is made up of three panels bearing
- General information (panel 1, see screenshot below);
- The navigating menu and the buttons panel (2);
- The security detailed information (3).

The panel 1, located underneath the tool bar, displays general information with reference to
- **Partner**, **Role** and **Description** of the message as selected when accessing;
- **Status** of progression in the process of creation, compiling and forwarding of the message
- **Last modified**, indicating the date of the message last update.

The panel 2 is made up of two parts
- The upper part (2a) displays the message identifier, which is composed of a fixed part corresponding to the selected application (FEAT or FE129) and of a progressive number (e.g. FEAT-1950 or FE129-1951); the sections underneath allow the navigation through the distinct pages that make up the message;
- The lower part (2b) encloses the panel bearing the command buttons (see 5.1) for the management of the message and of the attachments.

The panel 3 includes the detailed information of the message sections. Each section may be composed of more sub-sections, each one identified by a label (e.g. 'Financial Instrument' in the section 'Financial Instrument Information').

5.1. Buttons description

The panel encloses 6 command buttons for the management of the message and the attachment list.
It should be noted that for some types of message not all the buttons may be enabled.
As a matter of fact, when an action is not possible, the relevant button is not enabled (it is not possible to click on it) and appear light grey.
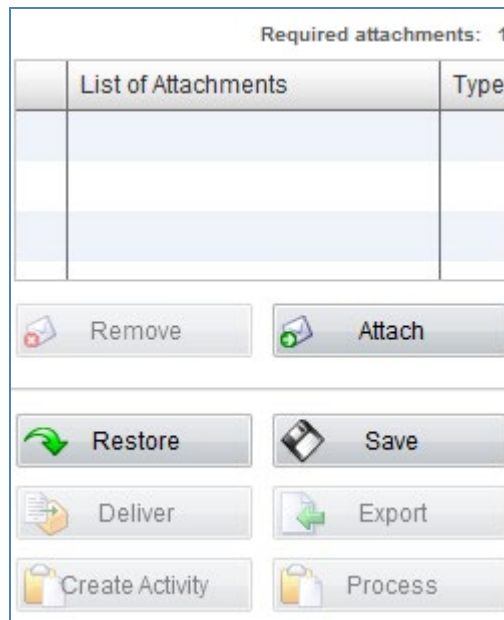
The process of creating, compiling and forwarding messages may be divided in 4 consecutive steps.
Each button may be activated only in particular moments of the process, according to the following pattern.

ACCESSING THE MESSAGE

- Create activity

COMPILING THE MESSAGE

- Save
- Restore (if necessary)
- Attach or remove the document (where required)
- Process (only for FEAT update communication)

FORWARDING THE MESSAGE

1. Deliver
2. Export (if necessary)

Hereunder is reported the detailed description of each single button

5.1.1. Create activity

By clicking on **Create activity** the application will create a new activity according to the parameters previously set (Partner, Role, Type of message and ISIN). For further in-depth analysis on the ways of accessing messages, please refer to chapter 4.

The status of a newly created activity is "New".

The button **Create activity** is not enabled for "Request for ISIN" and "General Communication" (see 4.1).

5.1.2. Save

By clicking on **Save**, the application freezes the newly inserted/updated information and performs checks on the data.

Anomalies, if any, may be browsed in the box "Description of anomalies" located within panel 3

Once the save has been performed, the activity **Status** changes into :
- "Saved with errors" when the application detects one or more anomalies;
- "Valid data - errors in attachments" when the only anomaly detected is the one related to the minimum number of attachments required;
- "To be delivered" when no anomaly has been detected and thus it is possible to deliver the message;
- "To be processed", only for FEAT Communications of update, when no anomaly has been detected and thus it is possible to process the message.

When an error occurs, by double clicking on the anomaly description the field to which the error is related will be highlighted in the corresponding section of panel 3. For further details on the resolution/management of anomalies, refer to § 5.2.3.

5.1.3. Restore

By clicking on **Restore**, the application deletes last updates/insertions and retrieves the data most recently saved.

Before restoring data, the application will ask for confirmation:
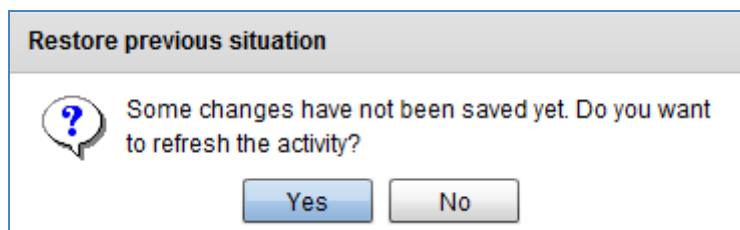
5.1.4. Attach and Remove

For some messages it is mandatory to attach documentation; the management of the attachments is performed through the **Attach** and **Remove** buttons. Whenever a minimum number of attachments is required, such number is shown in the top right corner of the panel (**Required attachments**: x).
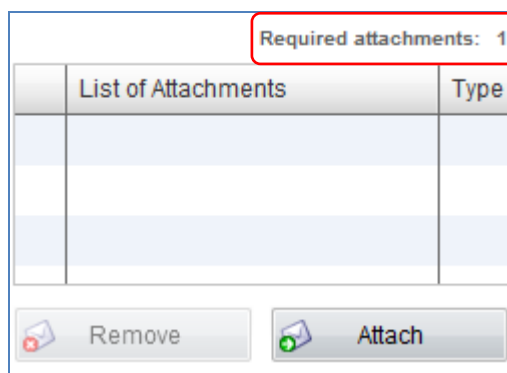
By clicking on the **Attach** button, the panel by which to select the attachments opens up, bearing only the button **Attach** enabled. This will allow to indicate the path of the document to be attached.
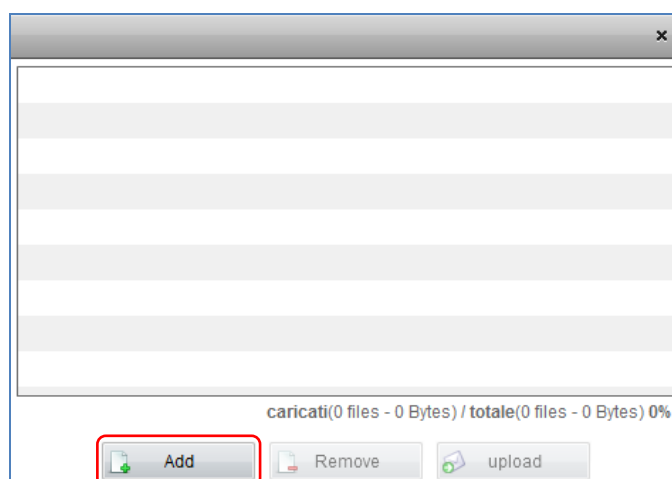
After selecting the file, you need to activate the button **Upload** for the real uploading, as shown below.
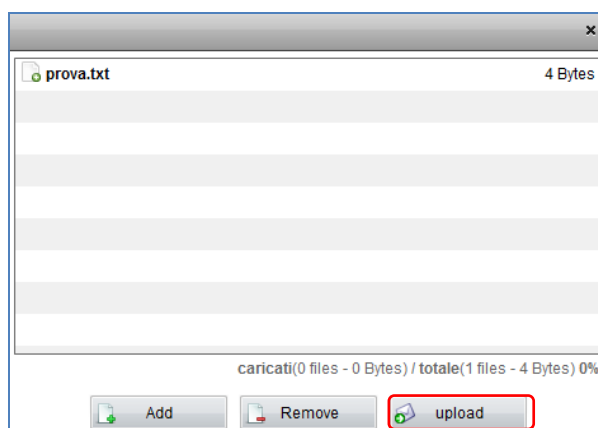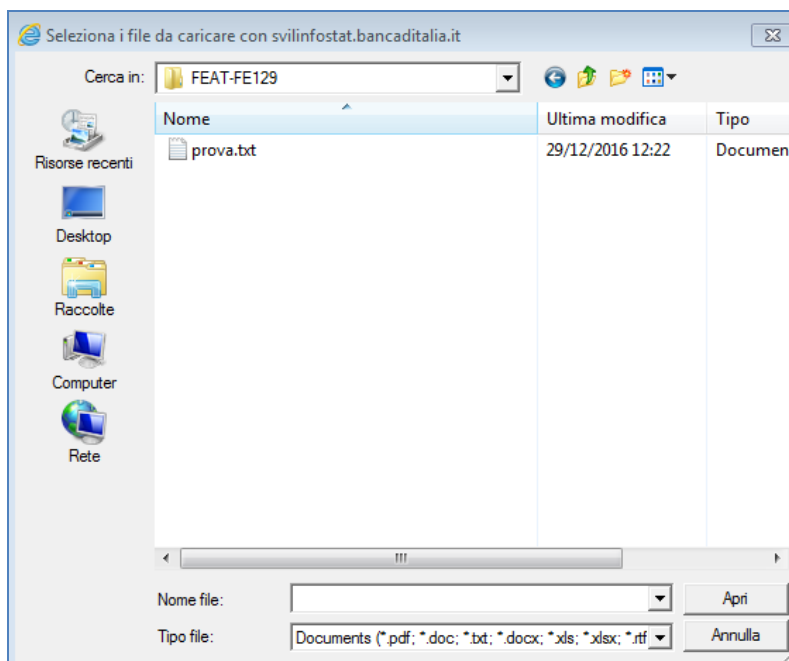
It is mandatory to specify the type of every single attachment. This is why a list from which to select the appropriate type is displayed just after uploading the document.
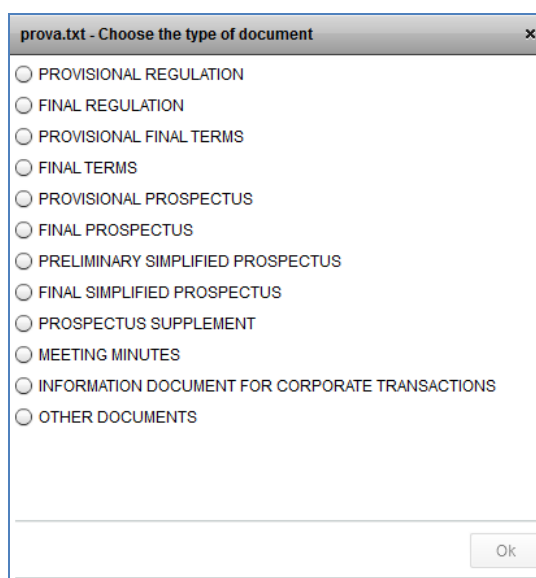
Once the document has been attached, it will be displayed in the attachment list bearing the indication of the selected type of document.
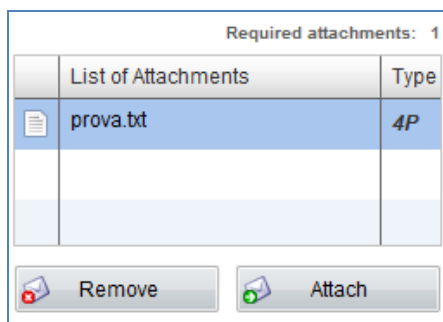
If the type of document has not been selected (this may be the case, for instance, when the selection list has been closed without indicating any type), the icon will appear on the right of the attached file.

It is possible to re-open the section list by double clicking on the column on the right of the document file (where the icon is displayed):
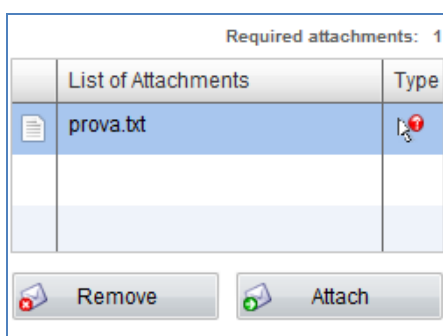
It is possible to delete a previously uploaded document from the attachment list, by selecting it and by clicking on **Remove**.

5.1.5. Process

The button **Process** is available only for FEAT Communications of Update and is enabled only after saving the activity without any error having occurred.

By clicking on **Process,** the application will create a Communication of update to be delivered to the Bank. In such a communication only the data actually updated by the Partner are included whereas all the remaining information previously derived from the BI Securities Database will be neglected.

In the Communication of Update there are specific fields which allow the indication of the type of update (change/correction), the variation effective date and the cause of the update:

The cause of the update has to be included as a free text in the section "Communication".

Communications of Update are performed through the following steps:
1. **Compiling** the communication
2. **Saving** the activity and removing anomalies, if any
3. **Processing**
4. **Delivering**

After compiling and saving the activity without any error having occurred (step 1 and 2), the button **Process** must be activated.

After processing the activity only the updated information is displayed:

Data may be only browsed and cannot be updated. The activity status changes into "To be delivered" and the button **Deliver** is enabled.

Nonetheless, if further updating needs to be performed, by clicking on **Undo** the activity is restored to the very moment preceding the processing.

5.1.6. Deliver

By clicking on **Deliver**, the application will forward the activity, correctly compiled and saved, to the Bank. The button is enabled only if the activity has successfully undergone all the compliance and consistency data checks that are activated when clicking on **Save**.

When an activity has been saved without errors (see § 5.1.2) or has been processed (see § 5.1.5) the status changes into "To be delivered" and the following pop-up is generated:
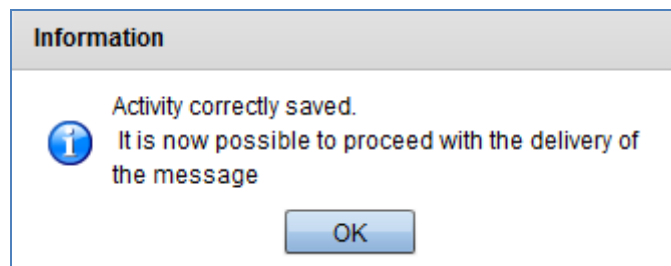
By clicking on **Deliver**, the activity status changes into "Delivered" and the message is forwarded to the Bank. **Please note that the processing of the message by the Bank is not immediate**. For further information on how to monitor the outcome of the message transmission as well as the process' state of progress please refer to § 3.6.1

5.1.7. Export

By clicking on Export, the application allows the export of the message data in csv or xml format. For the messages provided with such facility, the button is enabled from the first save of data, even if errors are detected.

Once data have been exported, they may be modified and re-uploaded by means of the **Import** function (see § 4.2), according to the specific message's record layout.

By clicking on Export, the following window opens allowing the operator to choose the type of format:
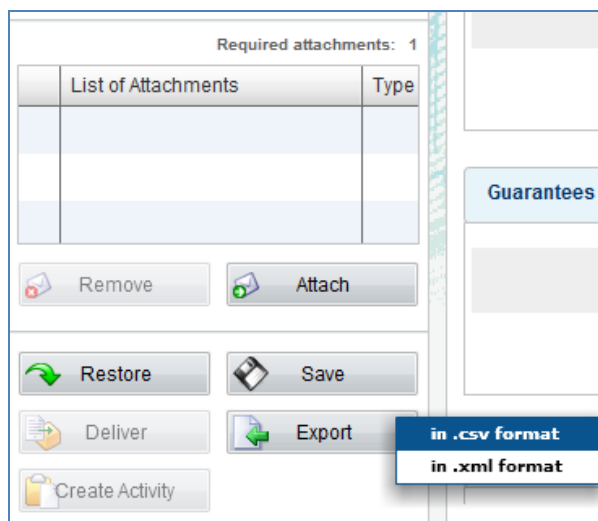
In FEAT, the exported file is saved with the name *Export_FEAT_Partner_FEAT-progressive.csv* (if format csv) or *Export_FEAT_Partner_FEAT-progressive.xml* (if format xml). In FE129 the function is similar but the resulting file bears FE129 instead of FEAT.
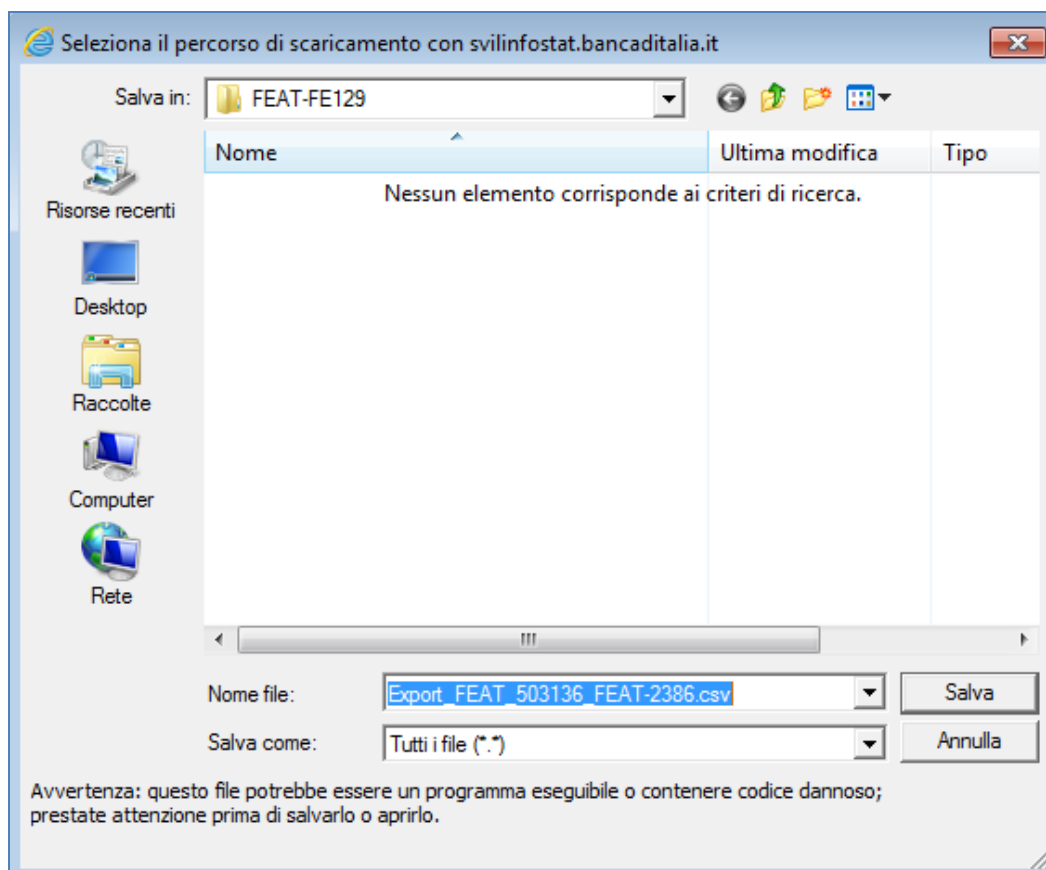
5.2.   Compiling of messages

The panel 3 includes detail data within each section of the message. Each section may be made up by more sub-sections marked by a label (e.g. Financial Instrument in the section Financial Instrument Information).

5.2.1. Insertion/update of data

Data to insert or to update are grouped in sections and sub-sections depending on the type of information. Fields marked with a red asterisk are compulsory.

The compiling of a field varies depending on the type of format

1) **Date fields**
   - To be selected through the calendar
2) **Numeric fields**
   - To be compiled manually
3) **Alphanumeric fields**
   - To be compiled manually
   - To be selected from drop-down menu
   - To be select after searching by 🔍.
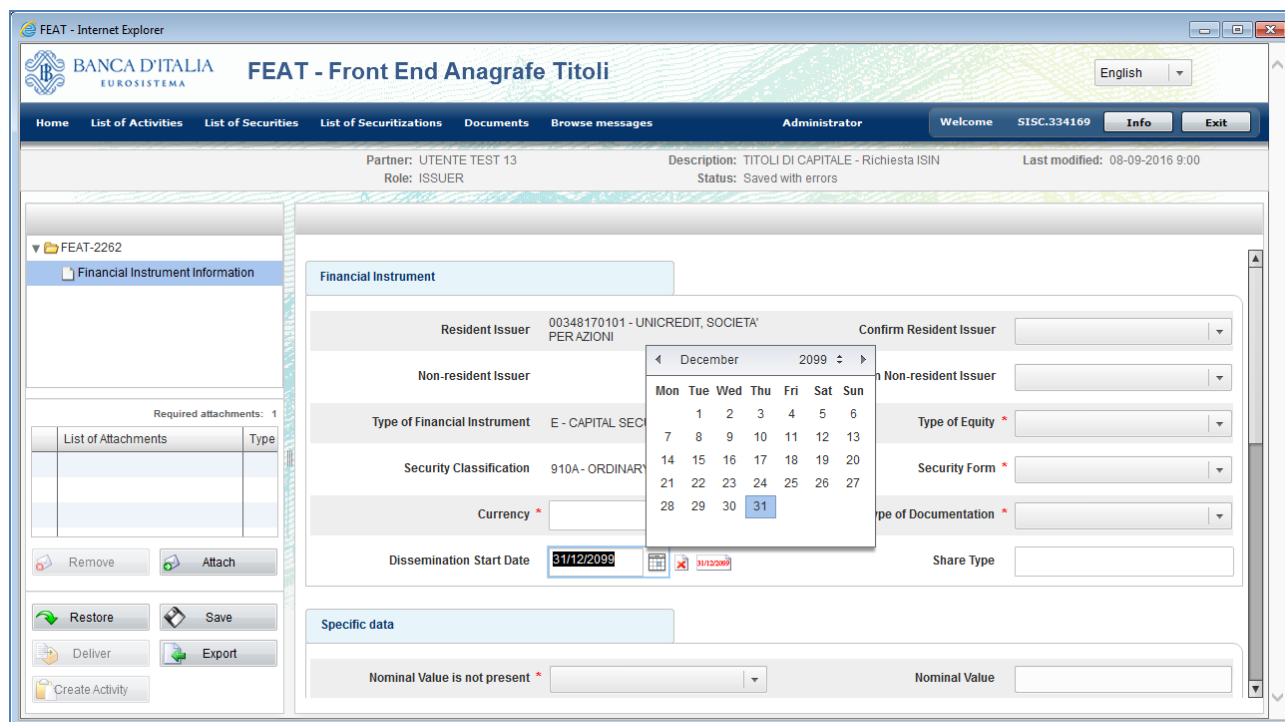
1) Date fields

Two icons are placed to the right of the fields with date format:
   - The calendar for the selection and insertion of a date;
   - The eraser ❌ for cancelling the previously inserted date.

Moreover, for fields which are to be filled in with 31/12/2099 date, the icon 31/12/2099 is available, allowing to set up such a date without scrolling down the calendar.

2) Numeric fields

Numeric fields are inserted by the user manually with the following format:
Decimal separator is the dot "."
Thousand separator is not to be indicated

For some fields the inserted value undergoes specific format checks.

3) Alphanumeric fields

Alphanumeric fields require different compiling modes depending on their specific characteristics.

- The user manual compiling is required for those fields which are not associated with a specific domain
- The selection from a drop down menu is provided for fields whose domain is limited
- The selection by means of a search device by code or by string is provided for those fields whose domain is very large (e.g. Currency) or not predetermined in advance.

When the selection is performed by means of a search device, the two icons 🔍 and ❌ are placed to the right of the field.
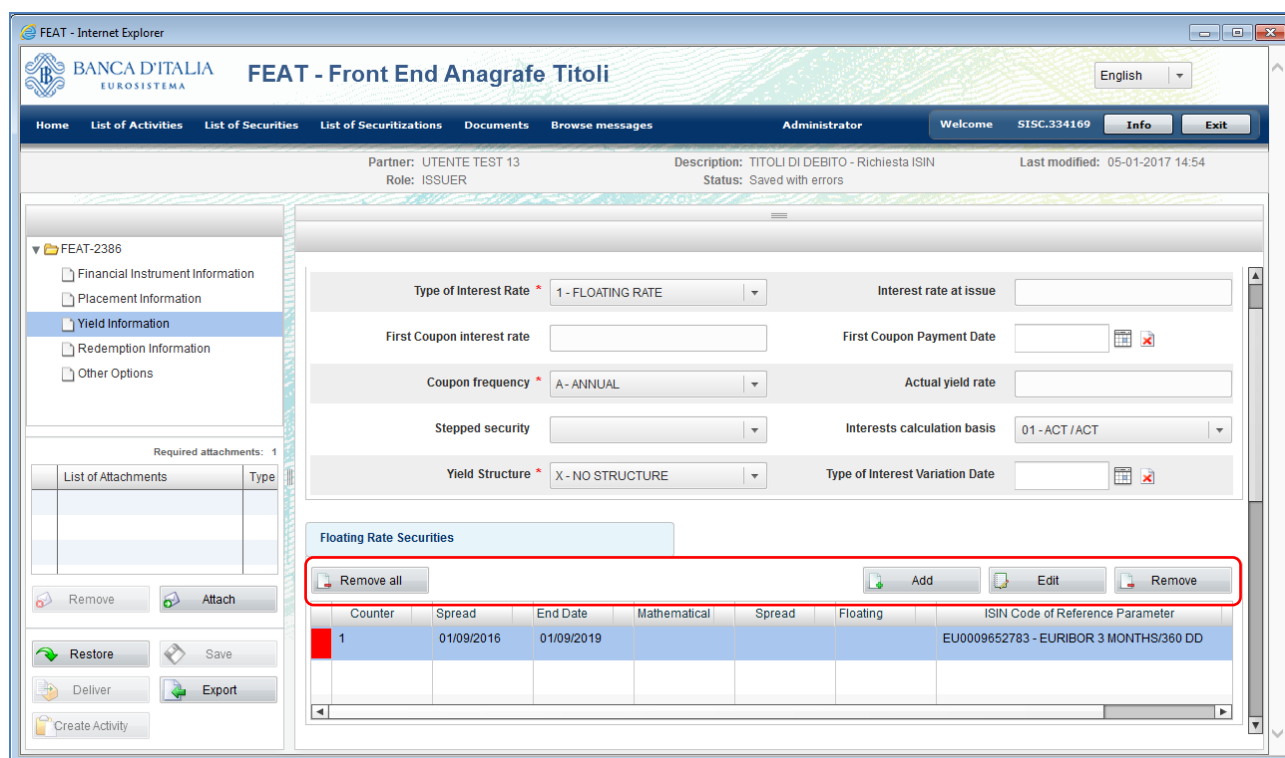
By clicking on 🔍 a search panel opens, in which it is possible to enter one of the search criteria (i.e. code or description). At the end of the search a list of result is displayed from which the requested value may be selected by clicking on **Select** or double clicking on the record.

By clicking on ❌ it is possible to cancel the selected value in the related field.

The selection by means of a search device is also provided for the fields related to entities which for various reasons are included in the message sections (issuer, parent company, guarantor, lead manager). For the treatment of such information please refer to § 3.7.1 – 3.7.4.

5.2.2. Compiling lists

Some sections are provided with subsections which require the compiling in tabular format (e.g. Floating rate securities, Accrual schedule, Placement agents). To this end, 4 buttons are placed on top of the sub-sections to deal with the management of the single record.

- The button **Add** allows to add a record to the table. When activated, it opens a window in which are included the data to be entered for the single record as well as the buttons
  - **Save** to save the data in the table. Note that if a mandatory attribute has not be entered it won't be possible to save the record.
  - **Cancel** to delete the inserted record.

- The button **Edit** allows to update the information of the selected record. When activated, it opens a window in which data to be updated are shown for the single record as well as the buttons
    - **Save** to save the data in the table. Note that if a mandatory attribute has not be entered it won't be possible to save the record
    - **Cancel** to delete the update.

- The button **Remove** is enabled by selecting a record, and allows the user to delete it. When clicking on the button, the application ask to confirm the cancelling of the record and if **OK** is activated the record is removed from the table.

- The button **Remove all** is enabled only if one record at least is included in the table and it allows to remove all the records of the table. When activated, the application ask to confirm the cancelling and by clicking on **OK** all the records are removed from the table.

Criteria to enter values and to perform searches, as indicated in the previous paragraph (see § 5.1), are to be applied also in the compiling of lists.

Only for resident placement agents is it possible to enter a taxpayer code straight away in the placement agents' list of section "Placement Information", when such a code has not been found in the BI Securities Database. More precisely, in this case the resident placement agent won't need to previously register the missing entity (as it normally should according to § 3.7.4).

As a matter of fact, if no matching result is returned, the following warning pops up:

and by clicking on **OK**, the taxpayer code is entered in the table record field "Resident placement agent".

5.2.3. Dealing with anomalies

Anomalies in field compilation, if any, are shown in the box "Description of anomalies", within panel 3, when saving entered data.
Checks are performed on mandatory data and on the consistency between attributes.
Messages of error may have different levels of seriousness, as indicated by the icons reported below:
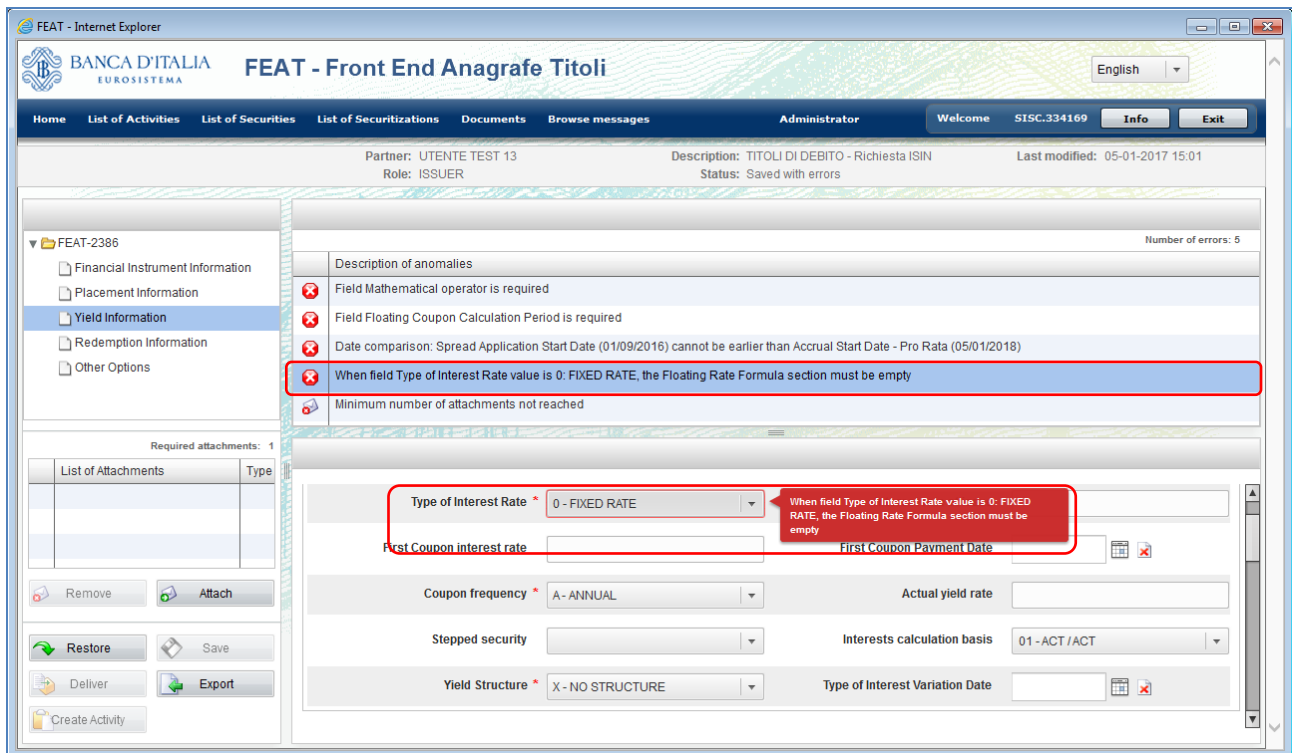
1. Very serious ✖
2. Serious ⊗
3. Referred to the attachments 📧
4. For information only (warning) ⓘ

When saving data, messages of error are displayed according to a decreasing order of seriousness. Errors belonging to the first three levels do not allow the activity to proceed to status "To be delivered". The number of anomalies is reported in the top right corner of the box.

By double-clicking on the description of anomalies, the application will display the related field in panel 3. The field will be circled in red and when the mouse will be placed over it the message of error will be displayed.

If the error relates to a whole record of a list (see § 5.2.2), by double clicking on the message of error it will be possible to move to the very record affected by the anomaly, which will be marked by a red box.

By clicking on the grey bar of "Description of anomalies" it is possible to drag the box within the screen or to minimize the box by putting it on top of the grey bar of panel 2.

5.2.4. General communications

General communications are to be sent whenever the user needs to forward information not related to a particular security or not included in the distinct messages (e.g. update/merger of the issuer, update of the validity dates, update of the placement date, unscheduled early redemptions). Two buttons are available in the application: **Compile** and **List of activities.**
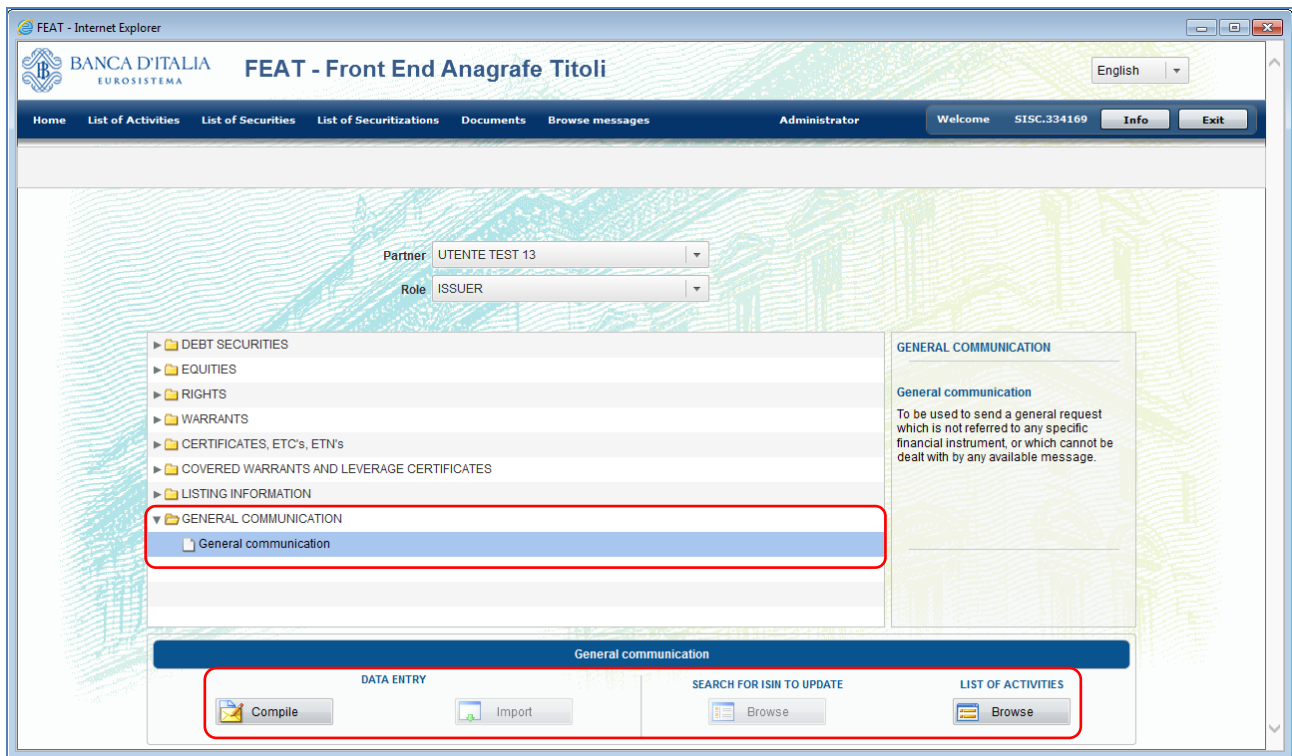
It is possible to enter a free text and documentation may be attached (see § 5.1.4).
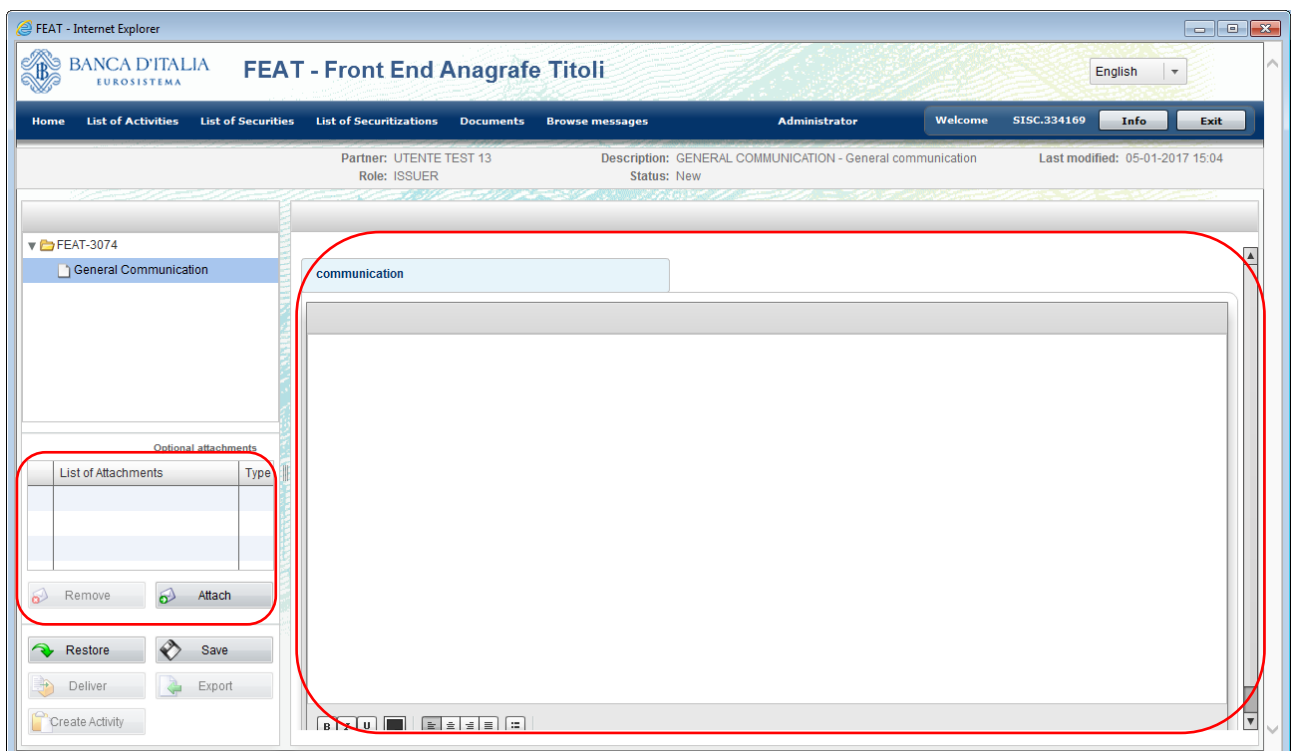
5.3. Forwarding of messages

When delivering an activity (see 5.1.6) its status will bear the value "Delivered" until a notification/rejection message will have been received from the Bank. In the former case the status will change into "Delivered – notified" whereas in the latter it will become "Delivered – rejected". From the List of activities (see § 3.2) it is possible to search activities according to the status.

When selecting an activity with status "Delivered – rejected" it is possible to create a new one by means of the button **Create activity** (see 5.1.1). The moment the copy is created, the activity with status "Delivered – rejected" will be automatically deleted.

Thus the Partner has the possibility to vary the only attributes affected by anomalies and to forward the activity again.

It is worth noting that, in the Requests/Registrations of ISIN created from rejected activities, data are brought back as they were originally compiled in the rejected message.

Instead, in Communications of Update created from rejected activities data are derived from the BI Securities Database, without any reference to the ones of the rejected message. Updates are therefore to be re-entered in the new activity, taking into account the reason of the reject as notified by the Bank.

6. Massive messages

For some types of financial instruments, such as Covered Warrants and Certificates, massive issues of securities with similar features are possible and updates of some typical data can be made simultaneously for a large number of securities.

For such instruments massive communications have been created, i.e. messages which refer to one or more financial instruments.

The compilation mode of such messages differs in some ways from the one related to single messages. The main differences are treated in this chapter. The way to access massive messages is the one reported in chapter 4.

As for single messages, the detail page is made up of three panels bearing
- General information (panel 1, see screenshot below);
- The navigating menu and the buttons panel (panel 2);
- The security detailed information (panel 3).

In panel 2 the structure of the massive message is shown: every message is identified by a code composed of a fixed part (FEAT or FE129) and of a progressive number (e.g. FE129-3018, as shown in the picture), which represents the "root" of a tree whose "leaves" are the single securities which make up the message. On their turn, "leaves" are also identified by codes (FE129-3019 e FE129-3020).

Placing the cursor on each leaf displays its structure, i.e. a diagram of the sections grouping the information. Enable each section on the right of the window to display the data it contains and to enable the command buttons. Data for each security forming the massive message are filled in as described for single messages. Massive messages also include an option or a requirement to attach documents.
Attached documents refer to the whole message and not to its individual components ("leaves").

Place the cursor on the root node to display a table of summary in panel 3 (one line for each leaf node).
Double click on each record in the table to display the corresponding leaf.

At the bottom the following command buttons are displayed: **List of Securities**, **Import**, **Save**, **Send** and **Export**. The functions associated to such buttons apply to the whole message, i.e. to root and leaves. For further details on the use of the buttons see § 5.1. And § 4.

To the left of each record in the data summary section an icon marks the record status:
- **green** when the record status is "To be delivered" or "Delivered"
- **red** when it is "Saved with errors"
- **yellow** when it is "Valid data – errors in attachments"
- **orange** when it is "New"

Uploading a file via the **Import** button, a massive message is created. The status of the massive message and of each leaves is initially equal to "New". By clicking on **Save** button, the imported data are checked and the result of the check involves the change of the status from "New" to one of the following:
- Saved with Errors: if at least one of the components is Saved with Errors,
- Data Valid – Error in Attachments: if no component is Saved with Errors and there are errors in the attachments (relating to the whole message),

- To be delivered: if all the components are "To be delivered" and there are no errors in the attachments (relating to the whole message).

Only if there are no errors (status equal to "To be delivered"), it is possible to deliver the message via the **Deliver** button.

6.1.   Creating leaves

When creating a new massive message, the message's structure is without "leaves". The way to add/delete leaves differs according to the type of activity. The compilation of the single leaves is similar to the one described in chapter 5.

Massive Request for ISIN

Page nodes can be created using the buttons **Add** (to create an empty page), **Copy** (to create a new leaf with data similar to the ones of the leaf previously selected). Moreover, it is possible to delete a previously created leaf using the button **Remove**.

Place the cursor on the "root" and the button **Import** will be displayed underneath the table of summary. Using such a button the operator will be able to upload a format .csv file. If the uploading is successful the application will create as many leaves as the records in the imported file and will add them to the pre-existing leaves.
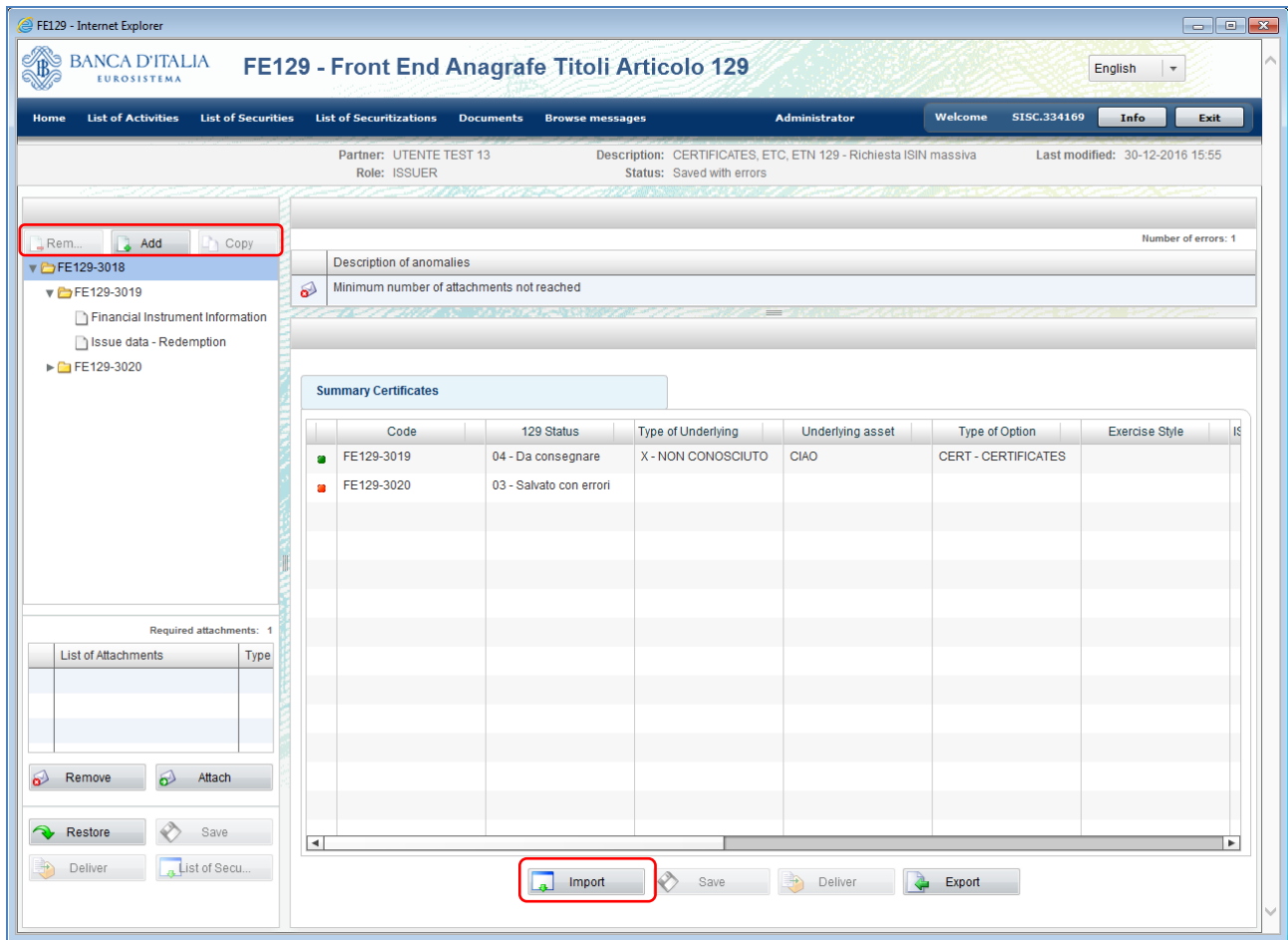
Massive ISIN Registration

The **Add** and **Copy** functions are disabled for these messages

Leaves can be created by activating the **Securities List** function (button in the bottom left panel) to check whether the ISIN code being searched exists in the BI security database.
The search criteria and methods are the same as described for the function **Search ISIN to Update** used for other ISIN Registration requests (§ 4.3.2).
Only if the ISIN Code is not present in the BI security database is the **Register** button enabled to create an empty leaf in which the ISIN Code not found is entered in the ISIN field for registration.

Place the cursor on the "root" and the button **Import** will be displayed underneath the table of summary. Using such a button the operator will be able to upload a format .csv file. If the uploading is successful the application will create as many leaves as the records in the imported file and will add them to the pre-existing leaves.

During the import the following checks are run to verify if:
- the ISIN is registered with the BI security database
- similar requests exist and are ongoing for the same ISIN
- the record layout is formally correct and so are the data included.

If the checks produce negative results, the leaf cannot be created and an error message will pop up.

Massive Update Communications and 129 Quarterly reporting Section 4

The **Add** and **Copy** functions are disabled for these messages.

Leaves can be created by activating the **Securities List** function (button in the bottom left panel) to check whether the ISIN code being searched exists in the BI security database.
The search criteria and methods are the same as described for the function **Search ISIN to Update** used for other ISIN Registration requests (§ 4.3.2).
Only if the ISIN Code is not present in the BI security database is the **Register** button enabled to create an empty leaf in which the ISIN Code not found is entered in the ISIN field for registration

Also in this case the command button **Import** is available, by which it is possible to upload a format .csv file.

During the import the following checks are run to verify if:
- the ISIN is registered with the BI security database
- there is correspondence between the classification of the financial instrument and the type of the selected message (e.g. Certificates vs. Leverage Certificates)

- similar requests exist and are ongoing for the same ISIN
- the record layout is formally correct and so are the data included.

If the checks produce negative results, the leaf cannot be created and an error message will pop up.

6.2.   Prearranging a csv file

The feeding of massive messages by import requires that the imported csv files have characteristics and format strictly defined.

To facilitate the preparation of such files, the application provides users with record layouts for each type of massive message. Such layouts may be downloaded (in Italian or in English) on the user's PC from the links available in the FEAT/FE129 Homepage.
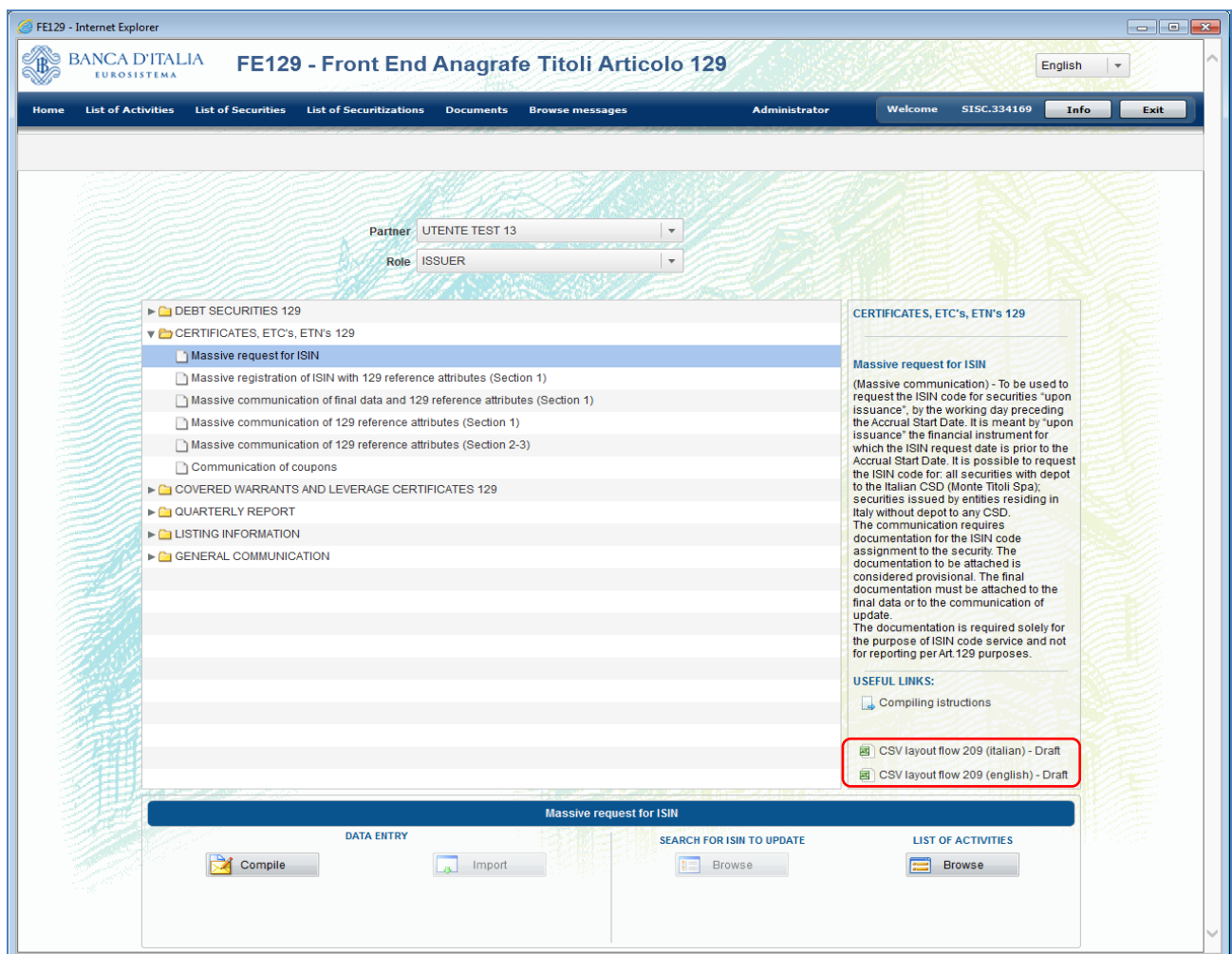
Once the download has been performed, the Excel record layout is displayed as below:

	A	B	C	D	E	F	G	H	I	J	K
1		SF005	SF014	RE004	AD001	AD003	AD004	SF022	CE001	AD002	AD005
2	FLOW ID	RESIDENT ISSUER	SECURITY CLASSIFICATION	FIRST COUPON PAYMENT DATE	TYPE OF OPTION	EXERCISE	SEGMENT	TRADE NAME	INVESTMENT CLASS	CATEGORY	UNDERLYING ASSET
3	FEAT_209		leave blank								
4											
5											
6											
7											
8											

The first two records of the layout bear the reference codes and the description of fields.
For additional information on the field content and format, please refer to Instruction for Compiling FEAT and FE129 messages.

Take notice

To create a .csv File formally correct it is of fundamental importance to follow the points reported below:
1. The first two records of the layout, bearing the reference codes and the description of fields, are NOT to be included in the .csv file;
2. the flow code FEAT_xxx has to be indicated in each record;
3. the decimal separator is the dot ".";
4. the thousand separator has not to be indicated;
5. the semicolon ";" is the field separator;
6. the date format is DD/MM/YYYY;
7. pay attention to records starting with zeroes "0" as for the application "0007" is different from "7" (we advise to be careful when using Excel as usually it deletes zeroes automatically to the left of numeric fields);
8. the format of the Excel files to upload is to be .csv only (not .xls nor .xlsx);
9. fields are to be filled in with **domain** values not their related **descriptions** (see example below, as extracted from Instruction for Compiling FEAT and FE129 messages.

SF013 (*) TYPE OF FINANCIAL INSTRUMENT
The field domain depends on the category of financial instrument selected.

DEBT SECURITIES
Value:
- O — BOND
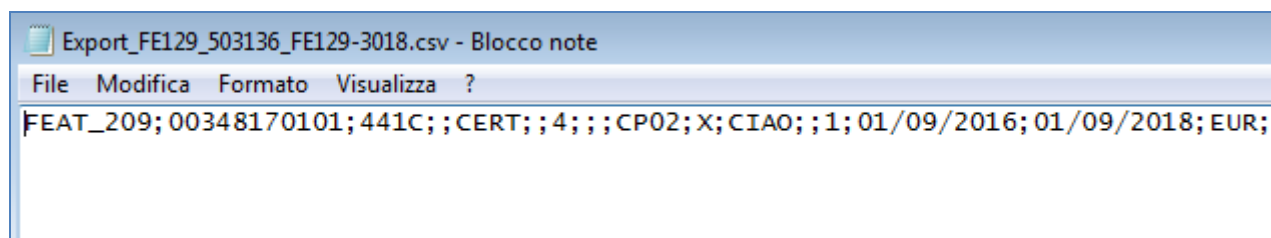- OC — CONVERTIBLE BOND
- OW — CUM WARRANT BOND
- CD — CERTIFICATE OF DEPOSIT
- CLN — CREDIT LINKED NOTE

DESCRIPTION KO

DOMAIN OK

Find reported below an example of record layout whose compilation is formally correct:

Export_FE129_503136_FE129-3018.csv - Blocco note

File   Modifica   Formato   Visualizza   ?

FEAT_209;00348170101;441C;;CERT;;4;;;CP02;X;CIAO;;1;01/09/2016;01/09/2018;EUR;

7. Messages for Italian Special Purpose Vehicles

To partners registered as resident FVCs (Financial Vehicle Corporations) only the role of Issuer is assigned .There are particular messages specifically conceived in order to report securitizations as well as ABS and CDO securities associated to such operations.

Resident FVCs must send the "Notice of commencement of securitization activity" message in order to ask for the Securitization number and, subsequently, for the securities associated to it.
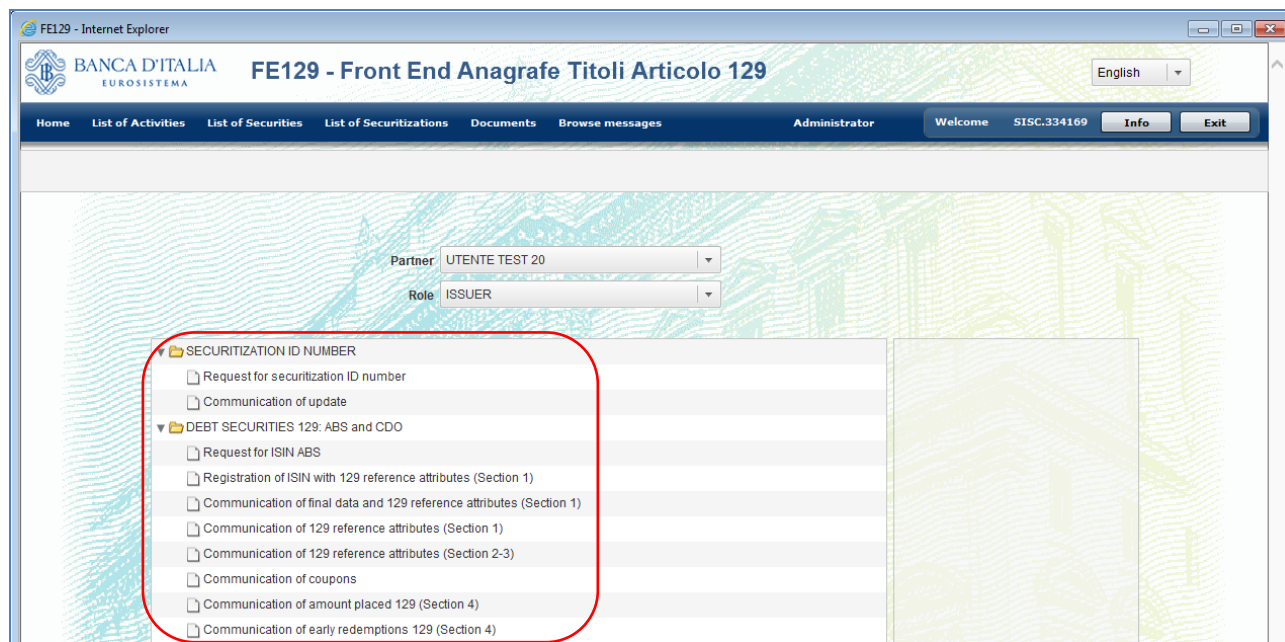
Messages for ABS and CDOs are similar to debt securities ones except for two additional attributes – namely, "ranking" and "securitization ID number" – and the same compilation and forwarding rules apply (see § 5).

The management of the operation number replicates the same rules
- By selecting "Notice of commencement of securitization activity" the button **Compile** will be enabled (see § 4.1)
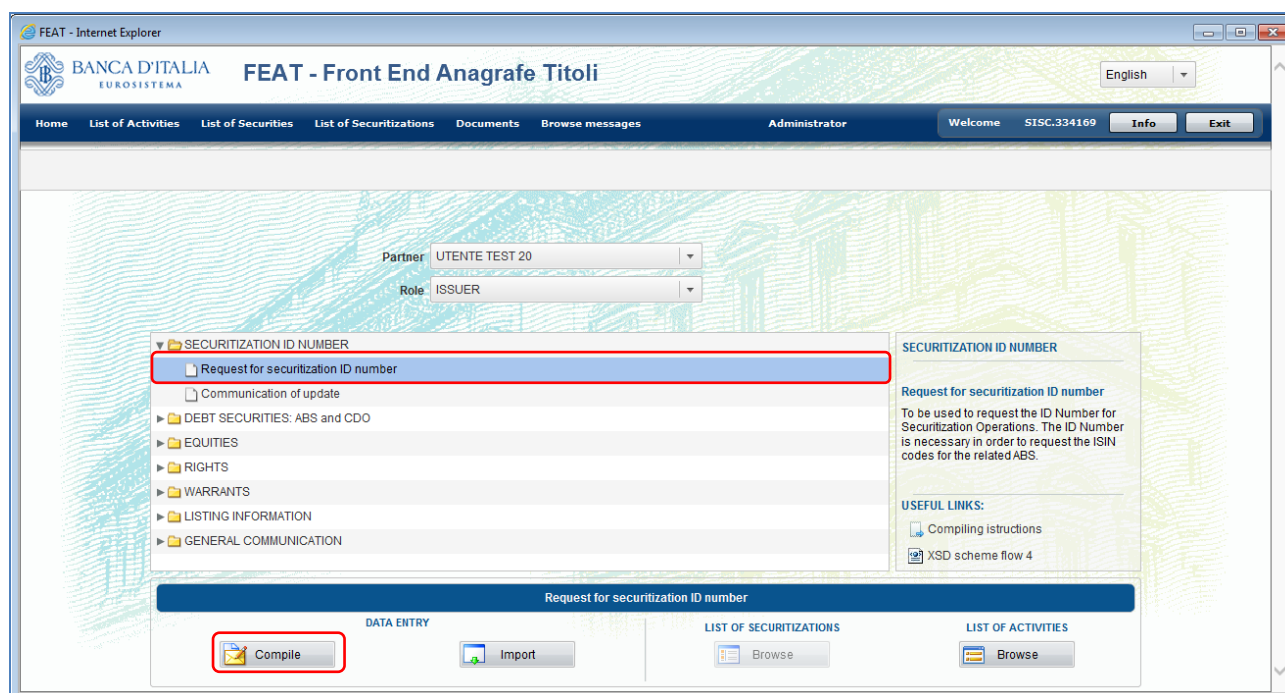
- By selecting "Communication of update" the buttons **List of Securitizations** (similar to Search for ISIN to update, as described in § 4.3) and **Compile** (to continue the compilation of previously saved activities) will be enabled.
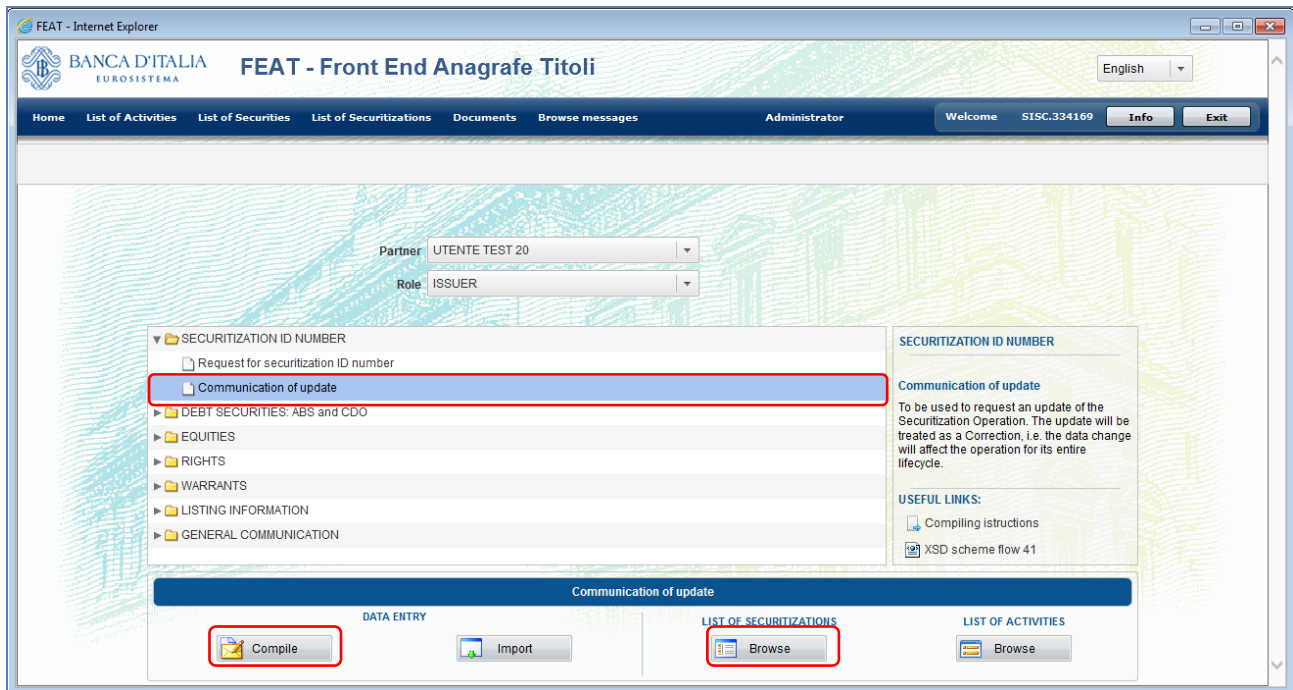
For both messages it is possible to access to previously saved activities by clicking on List of Activities (see § 4.4) or by importing the securitization data from an .xml file (xsd pattern) using the button Import (see § 4.2).
For the search facilities related to securitizations please refer to § 3.4.

8. Glossary

ACTIVITY: Logical group of related data and functions aimed at the creation of messages and the management of attachments.

INFOSTAT: BI Information system which supports supervised intermediaries in the report compiling and forwarding.

MESSAGE: Information flow exchanged between Partner and BI.

PARTNER: Entity (bank, financial vehicle corporation, investment company, non financial corporation etc.) authorized to the survey.

SURVEY: Set of one or more messages aimed at collecting information through a specific reporting

USER: Natural person delegated by the Partner in order to operate on his behalf within a survey

9. Contacts

For questions relating to auto-registration, please e-mail autoregistrazione@bancaditalia.it.

For questions relating to access to INFOSTAT and use of the services, please contact the help-desk of the Statistical Data Collection and Processing Directorate at rdvi.helpdesk@bancaditalia.it (Tel.: +39 06.47926459).

For administrative queries relating to use of FEAT and FE129, the numbering system and any other aspects of preparing and sending communications, please contact the Statistical Data Collection and Processing Directorate – Reference data Division (FEAT@bancaditalia.it; FE129@bancaditalia.it Tel:+39 06.47926667).