



## **Short Code Administration in the Member Portal**

Nasdaq Nordic, Nasdaq Baltic and Nasdaq Commodities

Version 1.1

November 27, 2017

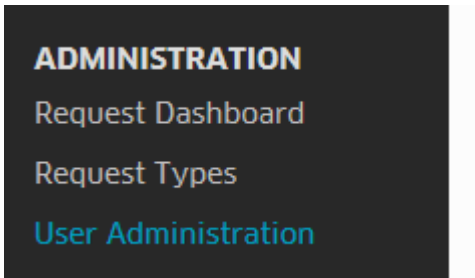
Date	Version	Description of change
2017-11-21	1.0	Initial version
2017-11-27	1.1	Updated National ID to include ISO 3166 Country Code.

### **LEGAL DISCLAIMER**

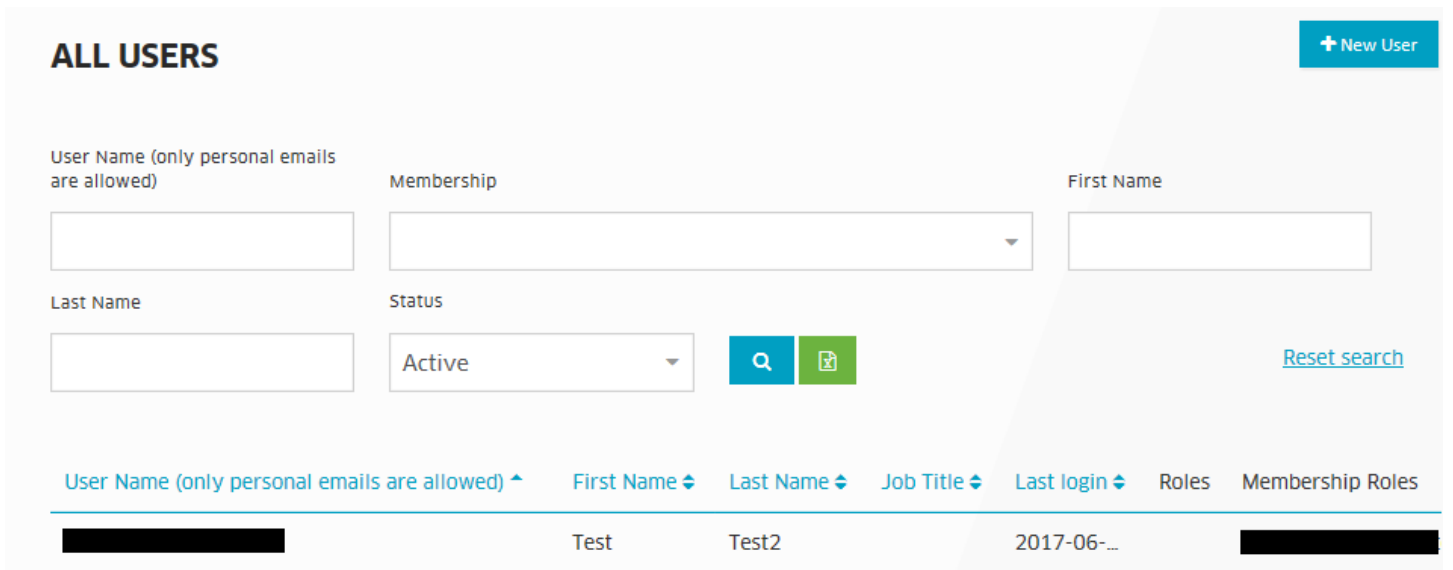
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## How to add the Short Code Administration role to users (only possible for Member Administrators)

Once logged in as a Member Administrator to Member Portal, navigate to “User Administration”.

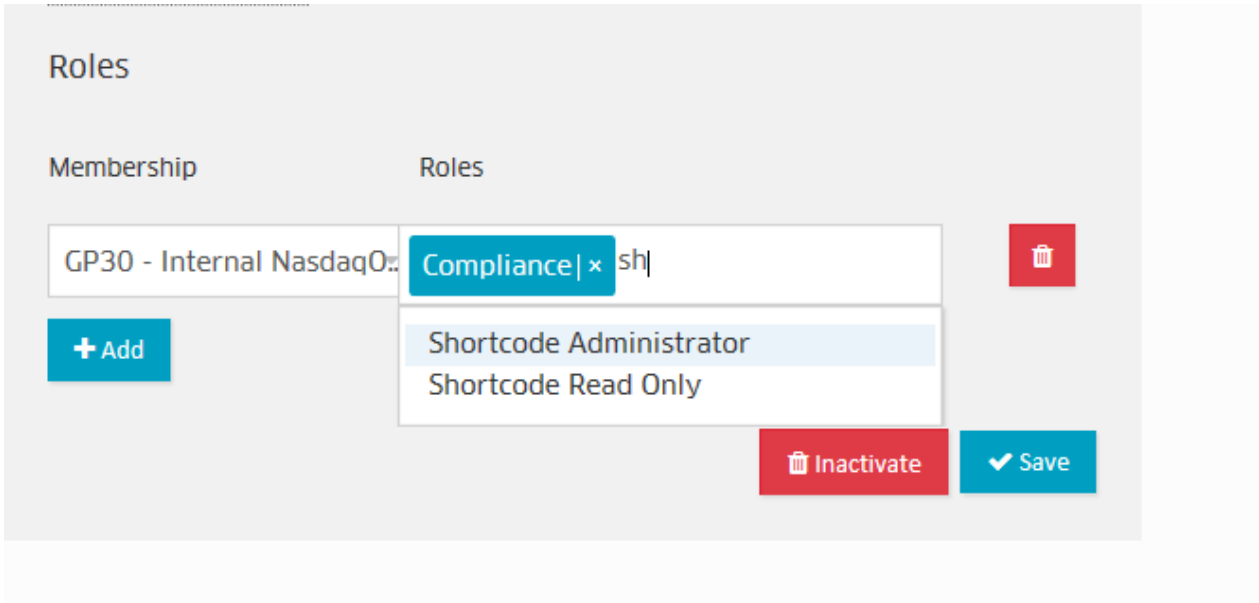


Select the user to whom you would like to add the Short Code Administration role.

The screenshot shows the 'ALL USERS' page. At the top left is the title 'ALL USERS' and at the top right is a '+ New User' button. Below the title are search filters: 'User Name (only personal emails are allowed)', 'Membership', 'First Name', 'Last Name', and 'Status'. The 'Status' dropdown is set to 'Active'. There are search and refresh icons. A 'Reset search' link is on the right. Below the filters is a table with columns: 'User Name (only personal emails are allowed)', 'First Name', 'Last Name', 'Job Title', 'Last login', 'Roles', and 'Membership Roles'. A single user is listed with 'Test' as the first name and 'Test2' as the last name. The 'User Name' and 'Roles' columns for this user are redacted with black boxes.

User Name (only personal emails are allowed) ^	First Name ⇅	Last Name ⇅	Job Title ⇅	Last login ⇅	Roles	Membership Roles
[REDACTED]	Test	Test2		2017-06-...	[REDACTED]	

Scroll down to “Roles” and search for the role “Shortcode Administrator”. Once added, press “Save”. Please note that you should not remove the current role(s) the user have.



## How to add the Short Code Administration role to yourself, as a Member Administrator.

Navigate to “My account” in the top right corner.

Choose User Rights.

Under “Request Member Portal Access Change”, add the “Shortcode Administration” role. Once added press “Send”.

**Membership Rights**  
Membership rights give you permission to perform certain tasks on a Membership. You have the following membership rights:

Membership	Roles
TEST - Nasdaq Test GCM. (Commodities)	Member Administrator

**Request Member Portal Access Change**  
Send a request to your member administrator to add or remove access to the Member Portal.

Membership: TEST - Nasdaq Test GCM. (Commodities) ▼

Roles: Member Administrator | x sh |  
Shortcode Administrator  
Shortcode Read Only

+ Add

Send

To accept the request, Navigate to “User Registrations” and open the request just added, “New Permission”.

**MEMBER PORTAL**  
Start  
Workflow  
Notifications Inbox

**MY MEMBERSHIPS**  
Memberships  
MPIDs  
Traders & ID:s  
Technical Access  
Applications  
Algorithm Certification

**ADMINISTRATION**  
User Administration  
[User Registrations](#)

### USER REGISTRATIONS

Email  Membership  Status

Email	First name	Last name	Status	Type of Registration	Membership	Phone
[REDACTED]			OPEN	New Permission	TEST - Nasdaq Test GCM. (Commodities)	

Once in the request, scroll down to the bottom and in the right corner, press "Accept Request". The new user can now administer short codes for your membership.

User Details Existing user detected, requested user details replaced with existing user

Jsername [REDACTED]

First name [REDACTED]

Last name [REDACTED]

Phone [REDACTED]

Mobile phone [REDACTED]

Job title [REDACTED]

Userregistration.current.roles

Membership	Roles
TEST - Nasdaq Test GCM. (Commodities)	Member Administrator

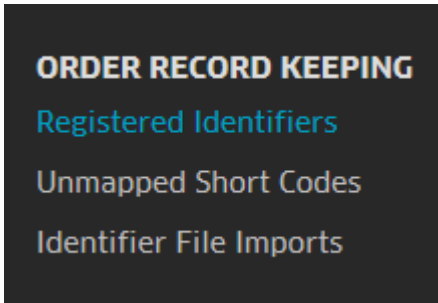
Roles

TEST - Nasdaq Test GCM. (Commodities)

Selected roles

## How to Register a New Identifier (Short code mapping value).

Once logged in as a Short Code Administrator to Member Portal, navigate to “Registered Identifiers”.



Navigate to “New Identifier” in the top right corner.

MEMBER PORTAL  
Start  
Workflow

MY MEMBERSHIPS  
Memberships  
MPIDs  
Traders & ID:s  
Technical Access  
Applications  
Algorithm Certification

ORDER RECORD KEEPING  
Registered Identifiers  
Unmapped Short Codes  
Identifier File Imports

REGISTERED IDENTIFIERS [+ New Identifier](#)

TESTAR TEXT

Membership  MPID

Code Type  Short Code Value  Long Code  Alias

Comments

[Reset search](#)

MPID	Code Type	Short Code Value	Long Code	Begin Date	End Date	Alias	Comment	Transaction Reporting Enrichment
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Choose the relevant membership and MPID.

Select a Code Type, depending on what type of code you are registering, in this example Execution Decision Maker - Person.

The Short Code Value is the numerical value entered at Order Entry (it is acceptable to register the identifier after it has been used on orders, as long as it is the same day).

Please note that the first 6 fields are mandatory.

## REGISTER NEW IDENTIFIER

Membership	<input type="text" value="TEST - Nasdaq Test GCM. (Commodities)"/> <span>✓</span>
MPID	<input type="text" value="TEST"/> <span>✓</span>
Code Type	<input type="text" value="ExecutionDecisionMaker-Person"/> <span>✓</span>
Short Code Value	<input type="text" value="123"/> <span>✓</span>
Long Code	<input type="text"/> <ul style="list-style-type: none"> <li>• Use standardized format established by ESMA</li> <li>• Client-Entity Long Code must be exactly 20 Characters</li> </ul>
Begin Date	<input type="text"/> <span>📅</span> <ul style="list-style-type: none"> <li>• Begin Date required</li> <li>• Begin Date must be set before End Date</li> <li>• The value must be a valid date. Enter dates as yyyy-mm-dd</li> </ul>
End Date	<input type="text"/> <span>📅</span> <ul style="list-style-type: none"> <li>• Begin Date must be set before End Date</li> <li>• shortcode.validation.enddate.after.today</li> <li>• The value must be a valid date. Enter dates as yyyy-mm-dd</li> </ul>
Alias	<input type="text"/> <ul style="list-style-type: none"> <li>• Alias must start with a letter but can contain letters and digits. Only letters A-Z and Å, Ä, Ö are supported. Space is not allowed. Max 32 Characters</li> </ul>



**Example:**

In this example, the Long Code is a hypothetical Swedish National ID. Please note that the National IDs differs between countries. All Long codes should start with an ISO 3166 country code. Please consult [ESMA](#) if unsure of correct format. The table below is an extract from the RTS<sup>1</sup>.

ISO 3166 - 1 alpha 2	Country Name	1st priority identifier	2nd priority identifier	3rd priority identifier
DK	Denmark	Personal identity code 10 digits alphanumerical: DDMMYYXXXX	CONCAT	
EE	Estonia	Estonian Personal Identification Code (Isikukood)		
FI	Finland	Personal identity code	CONCAT	
GB	United Kingdom	UK National Insurance number	CONCAT	
LT	Lithuania	Personal code (Asmens kodas)	National Passport Number	CONCAT
LV	Latvia	Personal code (Personas kods)	CONCAT	
NO	Norway	11 digit personal id (Foedselsnummer)	CONCAT	
SE	Sweden	Personal identity number	CONCAT	

**REGISTER NEW IDENTIFIER**

Membership	TEST - Nasdaq Test GCM. (Commodities) ✓
MPID	TEST ✓
Code Type	ExecutionDecisionMaker-Person ✓
Short Code Value	123 ✓
Long Code	SE7505051010 ✓
Begin Date	2017-11-27 ✓ 📅
End Date	📅
Alias	
Comment	

[Save](#)

<sup>1</sup> Members are responsible for the accuracy of the information and for following ESMA's guidelines. Nasdaq is not responsible for the accuracy of the information in the table and this information could be changed at any time by the regulators.

## Reconciliation and Unmapped Short Codes.

### ORDER RECORD KEEPING

Registered Identifiers

Unmapped Short Codes

Identifier File Imports

The “Unmapped Short Codes” view automatically shows the latest reconciliation of short codes used in orders, quotes and trade reports (when applicable) against the identifiers (long codes) entered in the Member Portal.

Short Codes that have been used in orders or quotes (or trade reports for certain members), but not yet mapped to a Long Code are listed as Unmapped Short Codes.

The begin date needs to be set prior or the same date that the short code was used and the end date is optional (no end date if left blank).

This feature is available intra-day, allowing the Short Code Administrator to always be up-to-date.

**MEMBER PORTAL**

Start

Workflow

**MY MEMBERSHIPS**

Memberships

MPIDs

Traders & ID's

Technical Access

Applications

Algorithm Certification

**ORDER RECORD KEEPING**

Registered Identifiers

Unmapped Short Codes

Identifier File Imports

**ADMINISTRATION**

Request Dashboard

Request Types

User Administration

### UNMAPPED SHORT CODES

Each Used Date and Short Code value for which there is no matching Long Code will be counted as an Unmapped Short Code. When registering an Identifier Short Code, the Begin Date must be set before or same day as Used Date. Thus, if the same Short Code value has been used multiple days without any register the Identifier for the Unmapped Short Code which has the earliest Used Date. If the validity time of the new Identifier covers also the subsequent the Member will then automatically have completed its mappings for the given Short Code.

Membership

MPID

Code Type

Short Code Value

MPID	Code Type	Short Code Value	Short Code Used Date	Long Code	Begin Date	End Date
No result						

To register an identifier for an Unmapped Short Code, click on the Unmapped Short Code to add a long code and the other data associated with the short code. Once finished, press the green button on the right hand side to submit the registration.

## Automated upload of identifiers: File Upload / API

In addition to the procedure described above, Nasdaq also offers three other ways to upload short codes mapping values: WEB Based Rest API, SFTP File upload and in the Member Portal Identifier File Imports tab (csv file).

More information, CSV file specifications and an API Manual can be found on Nasdaq's [Technical Information webpages](#).

**Short Code API Users** can be ordered by a Member Portal Administrator [here\\*](#).

**NEW USER**

All fields are mandatory unless marked as optional.

User Information

User type  Membership  Short Code API User  Nasdaq

**SFTP File account** can be ordered [here\\*](#).

Which Membership?

Which Membership? ▼

All fields are mandatory unless marked as optional.

**SFTP Access Authorization**

Request SFTP Access

Request SFTP Account

\*These links can only work for a logged in user of the Member Portal.

## Contact

For questions, please contact [tradingoperations@nasdaq.com](mailto:tradingoperations@nasdaq.com) for Genium INET and [operator@nasdaq.com](mailto:operator@nasdaq.com) for INET.