

SFTR service file registration application user manual

Version 1.3

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EURONEXT CLEARING

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REVISION TABLE

Ver.	Section	Revision details – Reason of change
1.0		First edition
1.1		"Submissions" screen change - Ability to download the original submitted file
1.2		Addition of new values in the "Submission Status" column of the "Submissions" screen Modification of the Login Process on Euronext Athens new website
1.3		Rebranding of ATHEXClear to Euronext Clearing Athens

TABLE OF CONTENTS

1. GENERAL	5
1.1 Purpose - Overview	5
2. DESCRIPTION AND OPERATION	6
2.1 User's password management	6
2.2 Connecting and disconnecting at Euronext Athens website	6
2.3 Connecting to the System	8
2.4 Home page	9
2.5 File List.....	10
2.6 File upload check	11
2.7 Uploaded files.....	14

1. GENERAL

1.1 Purpose - Overview

The present manual outlines the functions that are performed by the users of the participants in the SFTR service, via the file registration application.

The following functions are provided in this issue:

1. Logging in the system,
2. Registering a customer file for customers using the SFTR service to deliver reports relating to transactions cleared by Euronext Clearing Athens
3. Registering a customer file for customers using the SFTR service to deliver reports relating to transactions not cleared by Euronext Clearing Athens,
4. Registering the file of collaterals per customer, using the SFTR Service, in order to submit the reports concerning the transactions cleared by Euronext Clearing Athens,
5. Registering from the Members of the transaction – position files for transactions made in other Exchanges or OTC Derivatives transactions.
6. Receiving registered files results.

2. Description and operation

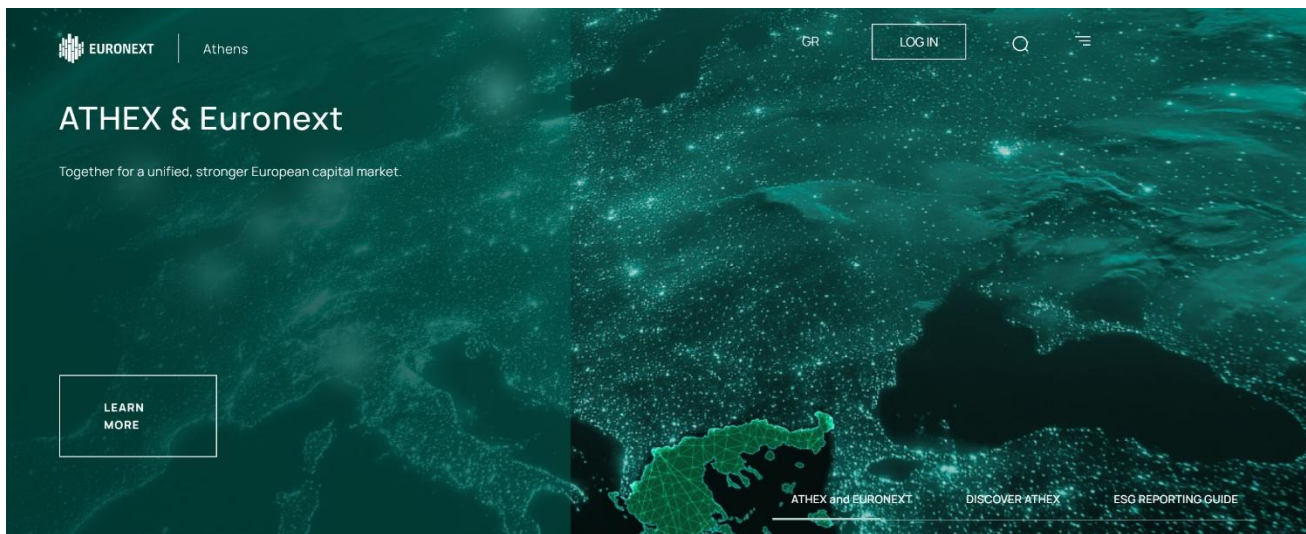
2.1 User's password management

For security reasons, after your first login you should change your password. You should also regularly change your password.

Passwords are managed at the Euronext Athens website.

2.2 Connecting and disconnecting at Euronext Athens website

In order to connect to the Euronext Athens website, please use the following link: <http://athens.euronext.com/>. The following screen will be displayed:



Select the option "**LOG IN**" and the below tab will be displayed. Then, select the option "**Sign in**".



Enter the email address you have register in the SFTR-TR Service User Application form and the corresponding password and then click the "**Sign In**" button.

Sign In ×

Email Address

Password

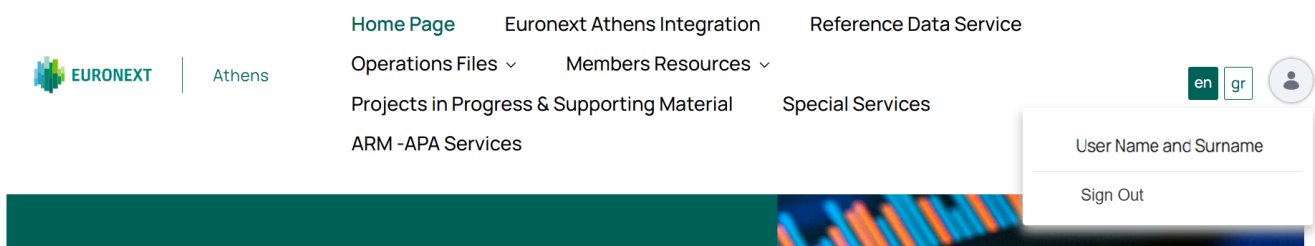
Remember Me

[Sign In](#)

[Forgot Password](#)

The first attempt to login ,the user fill in the e-mail address as it is registered in the SFTR-TR Service User Application form and next follows the “Forgot Password” process.

If you have typed your email and password correctly, then on the right top side the name and surname of the user (if you select the icon) and the “**Sign Out**” option will be displayed, as shown in the following picture.

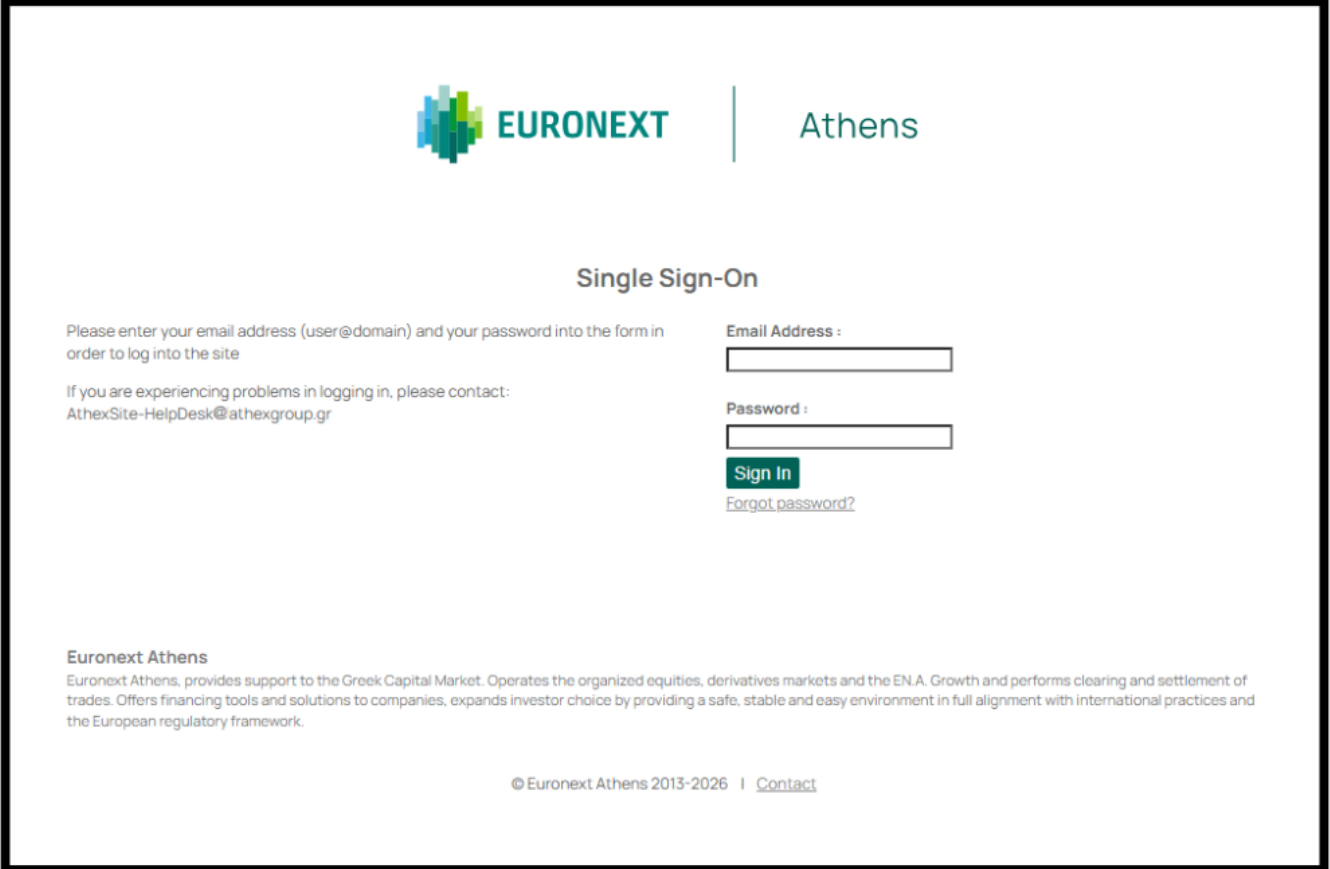


2.3 Connecting to the System

In order to login to the system, you must use an Internet Browser (Internet Explorer, Google Chrome, etc.) and the computer used must have Internet access.

By entering the link:

- <https://amp.athexgroup.gr/apex>, the user can log in to the production environment.
- <https://t-amp.athexgroup.gr/apex>, the user can log in to the test environment.



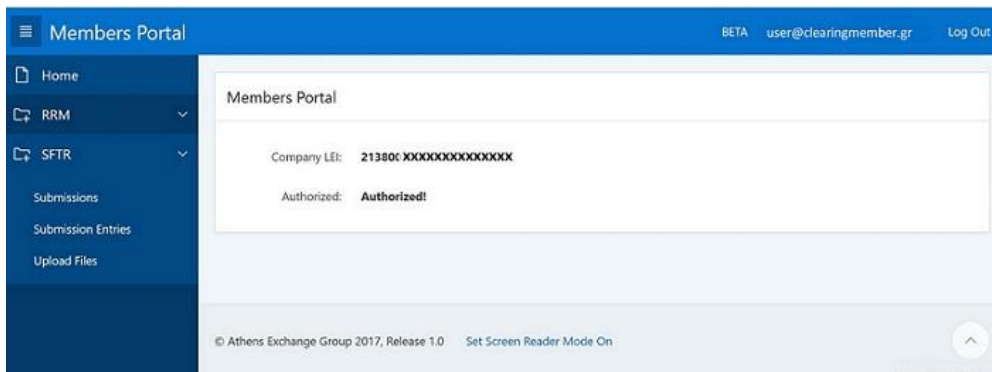
The screenshot shows the Euronext Athens Single Sign-On page. At the top left is the Euronext logo, and at the top right is the text "Athens". The main heading is "Single Sign-On". Below this, there is a text prompt: "Please enter your email address (user@domain) and your password into the form in order to log into the site". To the right of this text are two input fields: "Email Address" and "Password". Below the "Password" field is a green "Sign In" button and a link for "Forgot password?". On the left side, there is a note: "If you are experiencing problems in logging in, please contact: AthexSite-HelpDesk@athexgroup.gr". At the bottom left, there is a section titled "Euronext Athens" with a brief description of the service. At the bottom center, there is a copyright notice: "© Euronext Athens 2013-2026 | [Contact](#)".

Enter your Email Address as it is registered in the SFTR-TR Service User Application form and the corresponding Password and then click on the **"Sign in"** button.

If you enter your details correctly, you will log in to the system and the main page of the SFTR service application will be displayed.

2.4 Home page

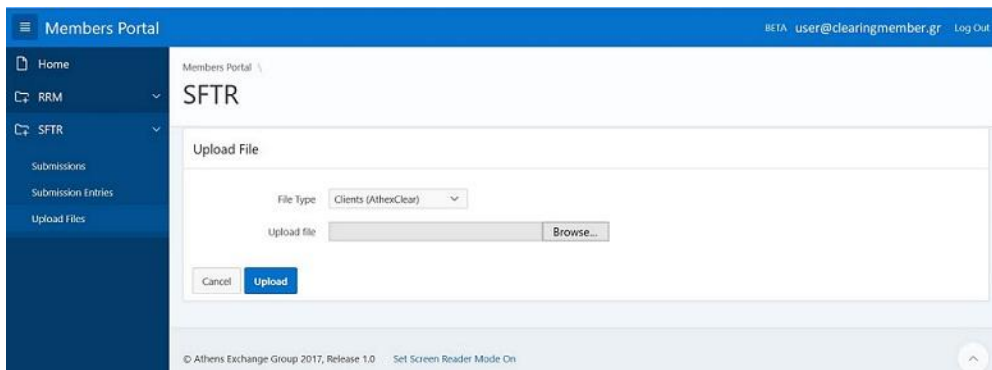
After connecting to the system, the main page is displayed, where the logged-in user and the LEI of the Clearing Member, the authorization of the login and the main menu of the SFTR application appear.



Click the “Logout” button in the upper right corner in order to exit the application.

2.5 File List

Select the “Upload Files” option from the main page and you shall be directed to the following page:



In this page the menu “**Upload File**” appears with the following options:

- **Clients (AthexClear)** upload client’s file for Euronext Clearing Athens transactions
- **Clients (Non AthexClear)** upload file with client’s LEI for transactions of other markets
- **Margin** upload client’s margin file for Euronext Clearing Athens transactions
- **Trades (Non AthexClear 052)** upload transactions-positions files to REGIS-TR of SFT products that are not cleared from Euronext Clearing Athens
- **Margin (Non AthexClear 070)** upload margin files to REGIS-TR of SFT products that are not cleared from Euronext Clearing Athens

Click **Browse** and choose the path that your file is located and then click **Upload** to upload the file to the SFTR application.

The application informs the user about the succesful or unsuccessful file upload, according to the SFTR service technical specifications.

2.6 File upload check

From the main menu choose "**Submissions**". The screen that shows all the file uploads and their status appears.

SFTR Submissions

Members Portal \ SFTR \ SFTR Submissions \

Submission ID	Submission User	Submission Timestamp	Submission Firm LEI	Submission Status	Table Name	Original Submission	
192270	G... ..S	2024-09-11 17:05:39	213800IW53U9IMJ4QR40	RCVD	Trades (non AthexClear 052)	20240911_sfr_s052.xml	SPES2805_1031_20...
192269	G'... ..S	2024-09-11 16:51:55	213800IW53U9IMJ4QR40	RCVD	Trades (non AthexClear 052)	ES2805_S052_20240911_090519_20240910_2... ..L3_02.xml	
192263	G... ..S	2024-09-11 16:41:12	213800IW53U9IMJ4QR40	RCVD	Trades (non AthexClear 052)	ES2805_S052_20240911_090519_20240910_2... ..L3_01.xml	
192262	G... ..S	2024-09-11	213800IW53U9IMJ4QR40	RCVD	Trades (non	ES2805_S052_20240911_090519_20240910_2... ..L3_00.xml	

In the "**Original Submission**" field by clicking on the name of the file that appears as a value of the field the user can download the file he had submitted.

In the "**ACK**" field by clicking on the file name that appears as the value of the field the user can download the file with the answer as to whether it was accepted or not by REGIS-TR.

In the "**I031**" field by clicking on the name of the file that appears as the value of the field the user can download the file with the answer as to which recordings of the file submitted to REGIS TR have been accepted or not.

In the "**Athex to REGIS submission**" field by clicking on the name of the file that appears as the value of the field the user can download the file submitted to REGIS TR by Euronext Clearing Athens.

The screen gives the possibility of "sorting" by column – display the column or not (by pressing the cursor on the name of each column).

The user can search with each of the fields that appear as well as combinations of them by clicking on the magnifying glass icon located above the "Submission Id" column.

The columns available for the user are the following:

Submission ID: Number – Code of file upload

Table Name: File type

File Name: File name

Submission Timestamp: File upload timestamp

Submission User: The user that have uploaded the file

Submission Firm Lei: LEI of the Clearing Member.

Submission Status: ACPT, PART,AUTO (for systemic user)

Original Submission: File that has been uploaded by the Clearing Member

Athex to REGIS Submission: File that uploaded by Euronext Clearing Athens

ACK: File with the answer of the upload

I031: File with the answers of the records of the file that has been uploaded

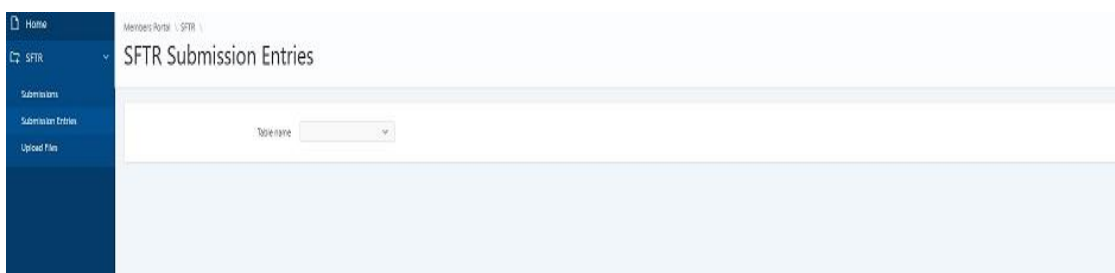
Finally, the user has multiple options from the "**Action**" option such as: show-hide columns, apply filters, export reports, save a table in the form of files of various formats, etc.

Response file download

In order to confirm the correctness of the data you entered, you must download the relevant response file (I031) from the central system.

2.7 Uploaded files

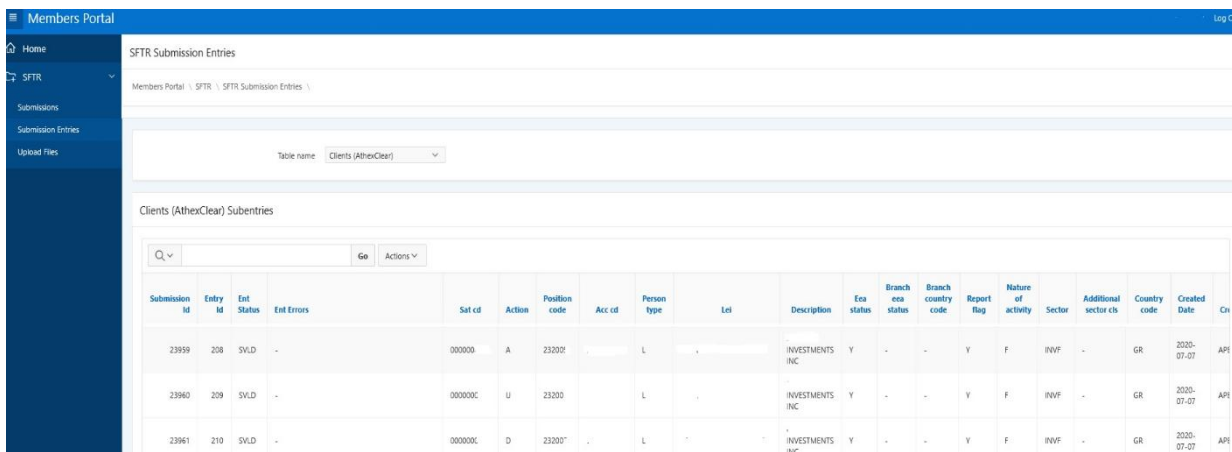
Select the "**Submission Entries**" button from the main menu. The page with all the options of the type of files that can be submitted is displayed (list):



From the "Table Name" list there are the following options:

- Clients (AthexClear)
- Clients (Non AthexClear)
- Margin
- Margin Submissions
- Sftr Submissions

By clicking "**Clients (AthexClear)**" the following screen is displayed:



Submission Id	Entry Id	Ent Status	Ent Errors	Sat cd	Action	Position code	Acc cd	Person type	Lei	Description	Esa status	Branch esa status	Branch country code	Report flag	Nature of activity	Sector	Additional sector ch	Country code	Created Date	Cr
23959	208	SVLD	-	000000	A	23200		L		INVESTMENTS INC	Y	-	-	Y	F	INVF	-	GR	2020-07-07	AP
23940	209	SVLD	-	000000C	U	23200		L		INVESTMENTS INC	Y	-	-	Y	F	INVF	-	GR	2020-07-07	AP
23961	210	SVLD	-	000000C	D	23200		L		INVESTMENTS INC	Y	-	-	Y	F	INVF	-	GR	2020-07-07	AP

Here the user can see how many Clearing Member’s client files have been submitted by SFTR users for transactions cleared by Euronext Clearing Athens. The information is available through the fields below described in the table below:

Submission Id	File submission code given by the system
Entry Id	Registration number
Ent Status	SVLD: Registration without errors FVLD: Registration with errors
Ent Errors	Error description
Sat cd	0000000XXX Clearing member Clearing System Code
Action	A: New record U: Update existing record D: Deletion of existing record
Position code	Clearing System position account

Acc cd	Clearing System Securities Account
Person type	L: Natural person N : Legal entity
Lei	Legal entity LEI
Description	Legal entity name
Eea status	Y: Legal entities that are located in the European Economic Area N: Legal entities that are located outside the European Economic Area
Branch eea status	Y: Legal entities that are located outside the European Economic Area but their branch is located in the European Economic Area
Branch country code	Two characters / abbreviation of Country within European Economic Area where the Branch of the Legal Entity is located
Report flag	Only for Legal Entities: Y: client delegates transaction/position reporting N: client does not delegate transaction/position reporting
Nature of activity	Only for Legal Entities: Nature of counterparty activity F (Financial) N (Non Financial)
Sector	Sector of the client
Additional sector cls	Additional sector classification
Country code	Country of the other counterparty
Created Date	Record creation date
Created By	APEX_PUBLIC_USER
Last Update Date	Record update date
Last Update By	APEX_PUBLIC_USER

By clicking “ **Clients (Non AthexClear)**” the following screen is displayed:

Members Portal \ SFTR \ SFTR Submission Entries \

Table name: Clients (non AthexClear) ▾

Clients (Non AthexClear) Subentries

Q ▾ Go Actions ▾

Submission Id	Entry Id	Ent Status	Ent Errors	Action	Lei	Description	Effective date	Created Date	Created By	Last Update Date	Last Update By
186349	1	FVLD	Internal_System Error	A	213800...	...	2024-03-26	2024-03-26	APEX_PUBLIC_USER	2024-05-14	APEX_PUBLIC_USER
188152	21	FVLD	cannot insert LEI code already exists at this reporting firm outer clients	A	213800...	...	2024-03-26	2024-05-15	APEX_PUBLIC_USER	2024-05-15	APEX_PUBLIC_USER

Here the user can see how many Clearing Member’s clients files have been submitted by SFTR users for transactions that are **not** cleared by Euronext Clearing Athens. The information is available through the following fields described in the table below:

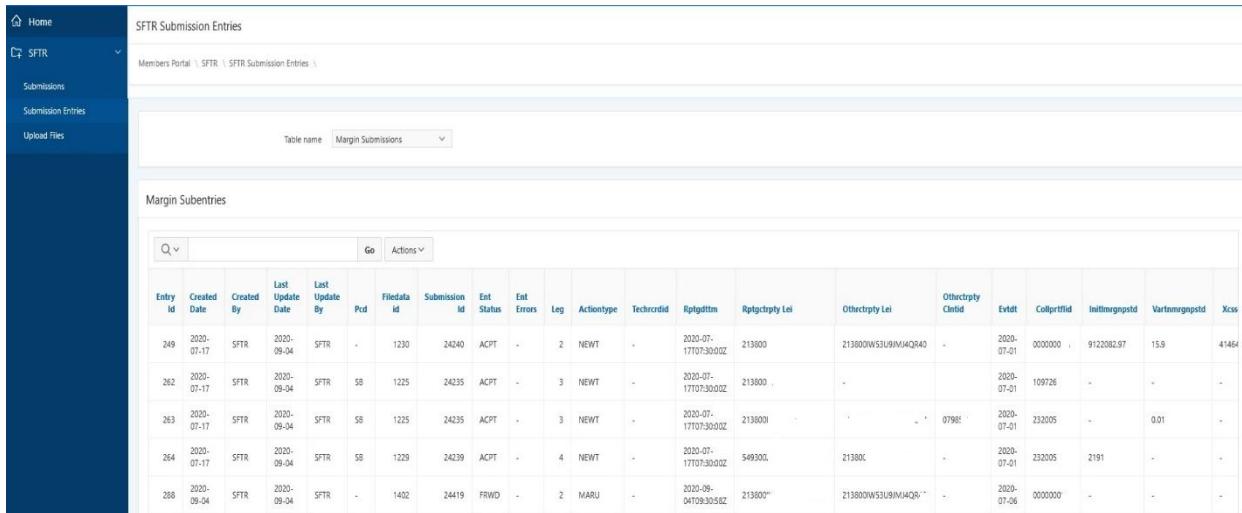
Submission Id	File submission code given by the system
Entry Id	Registration number
Ent Status	SVLD: Registration without errors FVLD: Registration with errors
Ent Errors	Error description
Action	A: New record U: Update existing record D: Deletion of existing record
Lei	Legal entity LEI
Description	Legal entity name
Effective date	Activation date for the acceptance of the reports to REGIS TR
Created Date	Record creation date
Created By	APEX_PUBLIC_USER

Last Update Date	Record update date
Last Update By	APEX_PUBLIC_USER

With the "**Margin**" option, the user can see all the client's margin files of Clearing Member that have been submitted by the users of the SFTR service for transactions that are cleared by Euronext Clearing Athens. The information is available through the following fields described in the table below:

Submission Id	File submission code given by the system
Entry Id	Registration number
Ent Status	SVLD: Registration without errors FVLD: Registration with errors
Ent Errors	Error description
Trade Date	Transaction date
Sat cd	Clearing System client code
Position code	Clearing System position account
Margin	Margin required
Margin cur	EUR
Excess collaterals	The value of the excess collaterals
Excess col cur	EUR
Created Date	Record creation date
Created By	APEX_PUBLIC_USER
Last Update Date	Record update date
Last Update By	APEX_PUBLIC_USER

By clicking “**Margin Submissions**” the following screen is displayed:



The screenshot shows the 'SFTR Submission Entries' page with a table titled 'Margin Submissions'. The table has the following columns: Entry Id, Created Date, Created By, Last Update Date, Last Update By, Pcd, Filedata Id, Submission Id, Ent Status, Ent Errors, Leg, Actiontype, Techcrdid, Rplgdtm, Rplgctprty Lei, Othcrctprty Lei, Othcrctprty Clntid, Evtdt, Collprftid, Inltmrgnpsid, Vartmrgnpsid, and Xcss. The table contains 6 rows of data.

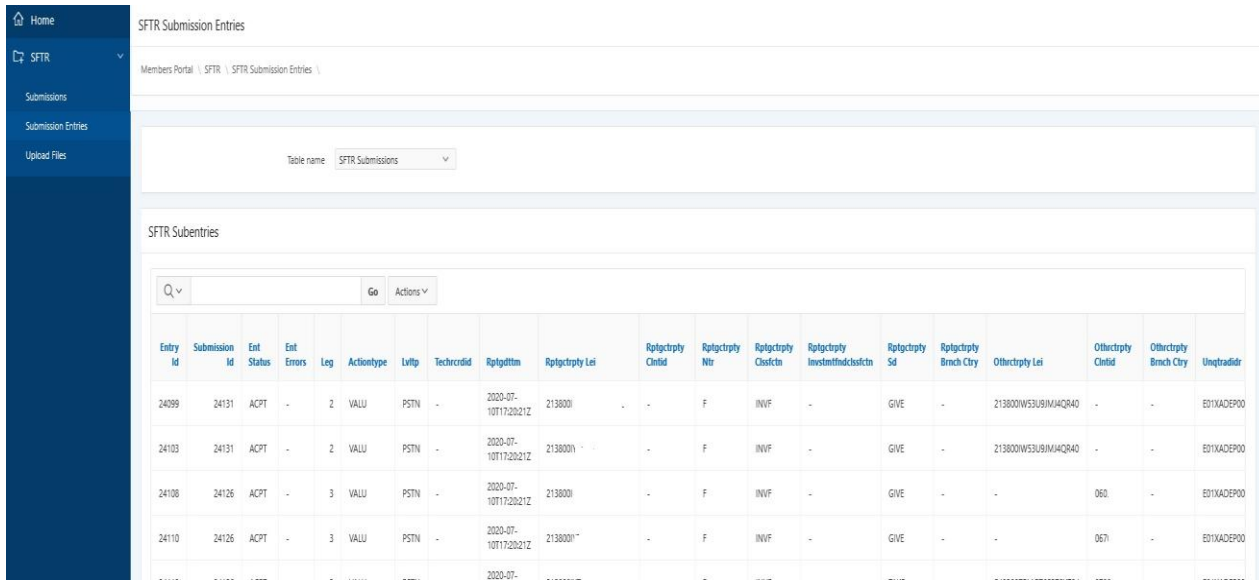
Entry Id	Created Date	Created By	Last Update Date	Last Update By	Pcd	Filedata Id	Submission Id	Ent Status	Ent Errors	Leg	Actiontype	Techcrdid	Rplgdtm	Rplgctprty Lei	Othcrctprty Lei	Othcrctprty Clntid	Evtdt	Collprftid	Inltmrgnpsid	Vartmrgnpsid	Xcss
249	2020-07-17	SFTR	2020-09-04	SFTR	-	1230	24240	ACPT	-	2	NEWT	-	2020-07-17T07:30:02	213800	213800WS3UBINIAQ940	-	2020-07-01	0000000	9122082.97	15.9	41464
262	2020-07-17	SFTR	2020-09-04	SFTR	SB	1225	24235	ACPT	-	3	NEWT	-	2020-07-17T07:30:02	213800	-	-	2020-07-01	109726	-	-	-
263	2020-07-17	SFTR	2020-09-04	SFTR	SB	1225	24235	ACPT	-	3	NEWT	-	2020-07-17T07:30:02	213800	-	0798	2020-07-01	232005	-	0.01	-
264	2020-07-17	SFTR	2020-09-04	SFTR	SB	1229	24239	ACPT	-	4	NEWT	-	2020-07-17T07:30:02	549300	213800	-	2020-07-01	232005	2191	-	-
268	2020-09-04	SFTR	2020-09-04	SFTR	-	1402	24419	FRWD	-	2	MARU	-	2020-09-04T09:30:52	213800	213800WS3UBINIAQ940	-	2020-07-06	0000000	-	-	-

Here the user can see the registrations submitted by Euronext Clearing Athens on their behalf and related to Margin reports for transactions cleared by Euronext Clearing Athens. The information is available through the following fields described in the table below:

Entry Id	Registration number
Created Date	Record creation date
Created By	SFTR
Last Update Date	Record update date
Last Update By	SFTR
Pcd	FLAG : SB /RA/SL
Filedata id	Field for internal use
Submission Id	File submission code given by the system
Ent Status	ACPT (Accepted), RJCT (Rejected)
Ent Errors	Upload errors

Leg	1,2,3,4
Actiontype	NEWT , MARU
Techrcrdid	Record SN in Clearing System
Rptgdtm	Report timestamp
Rptgctrpty Lei	Reporting counterparty LEI
Othrcrpty Lei	Other counterparty LEI
Othrcrpty Clntid	Clearing System client code of the other counterparty
EvtDt	Event date
Collprtflid	Collateral Portfolio ID
Initlmrgnpstd	Initial Margin Posted
Vartnmrgnpstd	Variation Margin Posted
Xcscollpstd	Excess Collaterals Posted
Initlmrgnrcvd	Initial Margin Received
Vartnmrgnrcvd	Variation Margin Received
Xcscollrcvd	Excess Collaterals Received
Invoice firm id	Client's report number
Invoice firm lei	Client's LEI
Invoice firm sat cd	Clearing Member code in Clearing System

By clicking **"SFTR Submissions"** the following screen is displayed:



Here the user can see the registrations submitted by Euronext Clearing Athens on their behalf and concern transaction-position reports cleared by Euronext Clearing Athens. The information is available through the following fields described in the table below:

Entry Id	Registration number
Submission Id	File submission code given by the system
Ent Status	ACPT (Accepted), RJCT (Rejected)
Ent Errors	Upload errors
Leg	1,2,3,4
Actiontype	VALU,MODI,POSC
Lvltp	TCTN , PSTN
Techrcrdid	Record registration number
Rptgctrpty Lei	LEI of the legal entity responsible for the report

Rptgctrpty Clntid	Clearing System client code
Rptgctrpty Ntr	Nature of the reporting counterparty
Rptgctrpty Clssfctn	Sector of the reporting counterparty
Rptgctrpty Invstmfndclssfctn	Additional sector classification
Rptgctrpty Sd	TAKE,GIVE
Rptgctrpty Brnch Ctry	Registered office of the branch of the legal entity submitting the report
Othrctrpty Lei	Counterparty LEI
Othrctrpty Clntid	Clearing System client code of the other counterparty
Othrctrpty Brnch Ctry	Registered office of the branch of the other counterparty of the report
Unqtradidr	UTI-PUTI
Evtddt	Event date
Exctndttm	Execution date
Scty Id	Security ISIN
Scty Clssfctntp	Security CFI
Scty Qty	Security Quantity
Scty Unitpric	Security closing price on Euronext Athens
Created Date	Report creation date
Created By	SFTR
Last Update Date	Date of the most recent update of the report
Last Update By	SFTR
Prtflcd	Portfolio code
Mktval	Market Value

Lnval	Loan Value
Scty Issr Lei	LEI of the issuer
Scty Type	Security Type
Clrdttm	Clearing Timestamp
Valdt	Value Date
Othrcrpty ctrycd	Other counterparty registered office
Scty issr jursdctnctry	Security issuer registered office
Nttypnsblforrpt	LEI of the legal entity responsible for the report
Clrmmb	LEI of the Clearing Member submitting the report
Brkr	Broker ID
Pcd	FLAG: SB /RA/SL
Fileddata id	Field for internal use