UDG Interface Specification

Please respond to:

LME IT Solutions Delivery

Change History

Revision	Date	Section	Section Name	Change
1.0	12 Jul 17			Original version for Town Hall
2.0	27 Jul 17	4.1.2	Personal Data file content validation rules	• Formats tidied up • 'Type' changed to 'IdentifierType' • Invalid Country error code added as PII-005 • All error codes from PII-005 incremented by 1 to slot in Country validation • 'First Name', 'Surname' and 'Date of Birth' are all mandatory for 'C', 'N' or 'P' Identifier Type now.
2.0	01 Aug 17	1.1	UDG	Added reference to PII and Positions Interface Specifications
2.0	01 Aug 17	2.1	UDG File Structure	Updated UDG folder structure
2.0	01 Aug 17	3	File Structure and Naming Convention	• Renamed to' UDG Submission and Responses' • Added all XML examples • Minor textual amendments
2.0	01 Aug 17	4.1.1	Position file content validation rules	Updated list of validation rules
2.0	01 Aug 17	3.1	Member submitting to UDG	Clarified <SeqNo> creation
2.0	09 Aug 17	4.1.2	Personal Data file validation rules	Revised validation rules.
2.1	05 Oct 17	4.1.2	Personal Data file validation rules	Further revision to validation rules
2.2	03 Nov 17	2.1	UDG File Structure	Revised file structure
2.2	03 Nov 17	3	UDG Submission and Responses	Revised filename formats
2.2	03 Nov 17	3.2.5	Submission and Response Example Filenames	Added examples of filename construction
2.3	10 Nov 17	3.3	UDG Submission and Responses	Further clarification
2.3	10 Nov17	3.1.1	File Naming Convention	Revised clarification on <SeqNo>
2.3	10 Nov 17	2.3	Inbound	Revised structure

1   Introduction

MiFID II will apply from 3 January 2018 and under these new MiFID II regulations the LME are obligated to produce several reports to the FCA. Some of these reports require data which need to be provided by the LME members.

1.1   UDG

The current format of position files submitted by members via DPRS does not meet requirements of RTS 21 and ITS 4 and would require significant changes to the DPRS system to accommodate.

In addition to the Positions, there is also an obligation for Members to provide PII (Personal Identifiable Information) that requires to be reported to the FCA.

Therefore a new solution, **Universal Data Gateway (UDG),** will be implemented. File transfers to and from UDG will be delivered over the Internet and will use Secure File Transfer Protocol (SFTP).

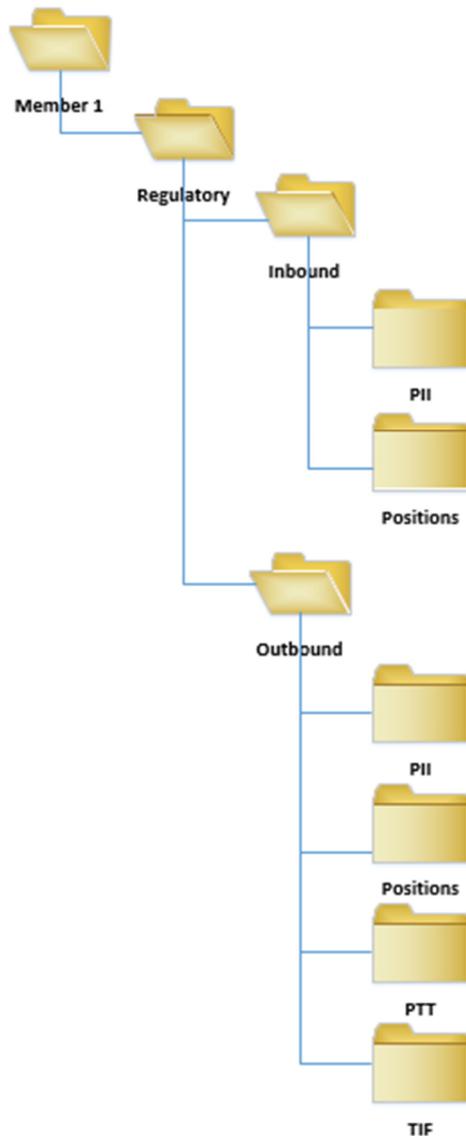For the submission file requirements please refer to the following:

- PII Interface Specification
- Position Reports Interface Specification

This document describes the interaction of Members with UDG for the validation and submission responses for PII and Positions data.

2   Inbound and Outbound SFTP Structure

2.1   UDG File Structure

For each submitting member the UDG folder structure will look as per the following diagram:

2.2   SFTP Protocol

Files submitted to UDG are sent using the SFTP protocol, which will perform validation of the user and facilitate the ability for the user to validate the SFTP server interface thereby facilitating mutual (2-way) validation of client & server.

SFTP uses FTP encapsulated within an SSH session, the SSH session has a public private key to allow connecting clients to validate the server they are initiating the connectivity with. This can be

completed by storing the public key of the SFTP server within the SFTP client's configuration to validate upon connection initiation with the server.

Once the client has verified the server certificate presented, providing assurance that they have connected to the authorised server, the SFTP server will request the username associated with the submitting member followed by the user authentication certificate, which is unique to every account created within UDG.

Once the user has been authenticated, the user account login will be automatically taken to the root of their directory structure to upload/download files. Files should be placed on the UDG in the appropriate sub-folder of the submitting member's inbound directory according to the data type. Each submitting member will only see its own folders for the data types that they have been permissioned to submit.

2.3   Inbound

Each submitting member will have a Regulatory top-level directory with two sub folders: 'inbound' and 'outbound' set up and permissioned.

Files sent by Members to UDG will be placed in a sub folder of the 'inbound' folder named according to the type of the file being sent. Files received from the members in the inbound folders will be deleted by UDG after they have been successfully received by the LME. Members will not have permissions to delete these files.

2.4   Outbound

Similarly, submission response reports to the members from UDG will be made available in a named sub folder underneath the 'outbound' folder.

Equally, it is the responsibility of members to delete their files from the outbound folder as soon as they have been successfully processed. UDG will automatically delete files from the outbound folder after 5 working days.

Files ready for collection are made available in the appropriate sub-folder of the submitting member's outbound directory according to the file type. The files should be retrieved using the SFTP protocol.

3   UDG Submission and Responses

All files submitted to and from UDG will be provided in xml format.

All submissions must conform to the specified file naming conventions as the UDG uses filename pattern matching to validate incoming filenames. Filenames that do not match the expected patterns will be rejected and appropriate XML submission response file will be returned.

3.1   Member Submitting to UDG

3.1.1 File Naming Convention

Members will upload xml files into the appropriate folders within the 'Inbound' folder of the UDG system.

The filename of the XML files submitted to the LME must comply with the following naming convention: *<MemberMnemonic>_<FileType>_<SeqNo>-<PreviousSeqNo>-<Year>.xml*

Component	Definition	Value
<MemberMnemonic>	3-character identifier of the member submitting the file to the LME.	XXX e.g. ABC
<FileType>	A 6-character attribute identifying the type of information contained within the file. First 3 characters: "POS" = Positions "PII" = Personal Information Second 3 characters: "SUB" = submission	**POSSUB** – For Position Reports **PIISUB** – for Personal Data mappings
<SeqNo>	A 6-digit sequence number, left padded with zeroes to uniquely identify the submission to the submitter. The sequence numbers are unique to each <file type> The first submission shall be 000001 and incremented for subsequent submissions. (From 999999 this will roll over to 000001) The sequence restarts each year Note: Members will need to update the SeqNo in all cases with one exception – the case where they have sent a file with a name that does not match the file name pattern of: XXX_XXXXX_NNNNNN-NNNNNN-NN.xml	nnnnnn e.g. **000001**
<PreviousSeqNo>	The 6-digit sequence number of the previous submission. This is used to ensure strict submission sequence processing. Note: when a submission fails and has been resubmitted with an incremented <SeqNo>, the	nnnnnn e.g. **000000**

	<PreviousSeqNo> will be dependent on the submission status response from UDG: **Accepted file - <SeqNo> for this file will count as the <PreviousSeqNo>** **Partial - <SeqNo> for this file will count as the <PreviousSeqNo>** **Reject - <SeqNo> for this file will NOT count as the <PreviousSeqNo>** **Corrupt - <SeqNo> for this file will NOT count as the <PreviousSeqNo>**	
<Year>	The last two digits of the year when the file was generated. For example for a file created during 2018, the year will be 18	nn

Having submitted a file via UDG, Members will need to poll the corresponding outbound folder for a response.

3.2   UDG Submitting to Member

3.2.1 File Naming Convention

The filename of the submission response XML files will comply with the following naming convention: *<MemberMnemonic>_<FileType>_<SeqNo>-<Year>.xml*

Component	Definition	Value
<MemberMnemonic>	3-character identifier of the member submitting the file to the LME.	XXX e.g. ABC
<FileType>	A 6-character attribute identifying the type of information contained within the file. First 3 characters: "POS" = Positions "PII" = Personal Information Second 3 characters: "FDB" = feedback response	**POSFDB** – For Position Reports **PIIFDB** – for Personal Data mappings
<SeqNo>	A 6-digit sequence number to uniquely identify the response file. This should correspond to the <SeqNo> as per the submission file.	nnnnnn e.g. 000001
<Year>	The last two digits of the year when the file was generated. For example for a file created during 2018, the year will be 18	nn

3.2.2 Successful Submission

The table below describes the XML submission response file generated in UDG and placed in the corresponding 'Outbound' folders:

Component	Definition	Value
RptSts	Status of the file validated as partial validation	Always 'ACPT'
OrgnlRcrdID	LEI	LEI
Sts	Status of individual record	Always 'ACPT'

The UDG system will generate an XML submission response file for each submission received.

An example of such response is shown below:

```
<?xml version="1.0" encoding="UTF-8"?>
<Document xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xmlns:n1="urn:iso:std:iso:20022:tech:xsd:DRAFT4auth.031.001.01" xsi:schemaLocation=" POSFDB_1.0.0.xsd">
          <StsAdvc>
            <MsgSts>
                  <RptSts>ACPT</RptSts>
            </MsgSts>
            <RcrdSts>
                  <OrgnlRcrdId>LEIABCDEFGHIJKLMNO13</OrgnlRcrdId>
                  <Sts>ACPT</Sts>
            </RcrdSts>
            <RcrdSts>
                  <OrgnlRcrdId>LEIABCDEFGHIJKLMNO14</OrgnlRcrdId>
                  <Sts>ACPT</Sts>
            </RcrdSts>
          </StsAdvc>
</Document>
```

3.2.3 Partially Successful Submission

The table below describes the XML submission response file generated in UDG and placed in the corresponding 'Outbound' folders:

Component	Definition	Value
RptSts	Status of the file validated as partial validation	Always 'PART'
OrgnlRcrdID	LEI	LEIABCDEFGHIJKLMNO12
Sts	Status of individual record	'ACPT' or 'RJCT'
VldtnRuleID	Error code	Positions: PRS–{NNN} Personal Data: PII–{NNN}
VldtnRuleDesc	Error text	Invalid Trading Venue code

The UDG system will generate an XML submission response file for each submission received. Where errors are detected at record level the submission response will contain error references (PRS-NNN / PII-NNN) in the XML submission response file (refer to File Validation rules in section 4)

Note:
[1] PII submissions will not be partially accepted.
[2] only the rejected Position records will have to be resubmitted via UDG after corrections made by the members.

An example of such response is shown below:

```
<?xml version="1.0" encoding="UTF-8"?>

<Document xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xmlns:n1="urn:iso:std:iso:20022:tech:xsd:DRAFT4auth.031.001.01" xsi:schemaLocation="POSFDB_1.0.0.xsd">

        <StsAdvc>

          <MsgSts>

                <RptSts>PART</RptSts>

          </MsgSts>

          <RcrdSts>

                <OrgnlRcrdId>LEIABCDEFGHIJKLMNO12</OrgnlRcrdId>

                <Sts>RJCT</Sts>

                <VldtnRule>

                        <Id>PRS-016</Id>

                        <Desc>Invalid Trading Venue code</Desc>

                </VldtnRule>

                <VldtnRule>

                        <Id>PRS-018</Id>

                        <Desc>A notation must be provided</Desc>
```

```
            </VldtnRule>

        </RcrdSts>

        <RcrdSts>

            <OrgnlRcrdId>LEIABCDEFGHIJKLMNO13</OrgnlRcrdId>

            <Sts>ACPT</Sts>

        </RcrdSts>

        <RcrdSts>

            <OrgnlRcrdId>LEIABCDEFGHIJKLMNO14</OrgnlRcrdId>

            <Sts>ACPT</Sts>

        </RcrdSts>

    </StsAdvc>

</Document>
```

3.2.4 Unsuccessful Submissions

The table below describes the XML submission response file generated in UDG and placed in the corresponding 'Outbound' folders:

Component	Definition	Value
RptSts	Status of the file validated	Always 'RJCT'
VldtnRuleID	Error code	Filename & Schema : F-{NNN}
VldtnRuleDesc	Error text	The name of the XML file is not consistent with the naming convention

The UDG system will generate an XML submission response file for each submission received.

Where errors are detected the whole submission will be rejected with the indicated error reference (F-NNN) in the XML submission response file (refer to File Validation rules in section 4)

An example of such response is shown below:

```
<?xml version="1.0" encoding="UTF-8"?>

<Document xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xmlns:n1="urn:iso:std:iso:20022:tech:xsd:DRAFT4auth.031.001.01" xsi:schemaLocation="POSFDB_1.0.0.xsd">

        <StsAdvc>

          <MsgSts>

                <RptSts>RJCT</RptSts>

          </MsgSts>

          <RcrdSts>
```

```
<Sts>RJCT</Sts>

    <VldtnRule>

        <Id> F-001</Id>

        <Desc> The name of the XML file is not consistent with the naming convention </Desc>

    </VldtnRule>

</RcrdSts>

</StsAdvc>

</Document>
```

3.3 UDG Submission and Response Example Filenames

The following table shows how the filenames should be constructed with the correct sequences by Members and the Response filename generated by UDG.

Action	Submission file to UDG by Member <MemberMnemonic>_<FileType>_<SeqNo>-<PreviousSeqNo>-<Year>.xml	Response File Generated from UDG <MemberMnemonic>_<FileType>_<SeqNo>-<Year>.xml
Member submits Positions file for first time	ABC_POSSUB_000001-000000-18.xml	ABC_POSFDB_000001-18.xml
Member submits 2nd Positions file	ABC_POSSUB_000002-000001-18.xml	ABC_POSFDB_000002-18.xml
Member submits 3rd Positions file	ABC_POSSUB_000003-000002-18.xml	ABC_POSFDB_000003-18.xml
Member re-submits 3rd Positions file as was rejected	ABC_POSSUB_000004-000002-18.xml (note: the <PreviousSeqNo> in this action is set to the last successful processed sequence number)	ABC_POSFDB_000004-18.xml
Member submits PII file for first time	ABC_PIISUB_000001-000000-18.xml	ABC_PIIFDB_000001-18.xml
Member submits 2nd PII file	ABC_PIISUB_000002-000001-18.xml	ABC_PIIFFDB_000002-18.xml
Member submits 3rd PII file	ABC_PIISUB_000003-000002-18.xml	ABC_PIIFDB_000003-18.xml
Member re-submits 3rd PII file as was rejected	ABC_PIISUB_000004-000002-18.xml (note: the <PreviousSeqNo> in this action is set to the last successful processed sequence number)	ABC_PIIFDB_000004-18.xml

In the event that the file name is incorrect UDG will return the filename of the file submitted with the corresponding error response (see section 4):

Error Reference *F-001*
Error Message *The name of the XML file is not consistent with the naming convention*

Action	Submission file to UDG by Member	Response File Generated from UDG
Member submits Positions file with incorrect naming format	ABC_POSSUBB_000001_000000_2018.xml <fileType> incorrect format <year> incorrect format Underscore used instead of hypen	ABC_POSSUBB_000001_000000_2018.xml
Member submits PII with incorrect naming format	ABC_PIISUB_0000001_000000_18.xml <SeqNo> number of characters incorrect	ABC_PIISUB_0000001_000000_18.xml

4   File Validation Rules

Each submission file received from the members in the inbound folders will have a two-step validation process:

1) File naming convention
2) XML Schema content

If a submission fails filename validation, it will be rejected at this point and an XML submission response file will be generated in the corresponding sub-folder of the member's outbound folder.

If the submission successfully passes the first validation it will be then subject to the corresponding XML schema content validation. This should assure that the file is in the correct format, all mandatory elements present and of correct type.

Similarly if the submission fails the XML Schema content validation, it will be rejected at this point and an XML submission response file will be generated in the corresponding sub-folder of the member's outbound folder.

In both cases members will have to correct their submissions and resend them back to UDG. For partially accepted content records, only the rejected records will have to be resubmitted.

The table below details the file validation rules that will be applied to all submissions received by members via UDG. The rules will be executed in the order listed in the table.

Check	Error reference	Error message	Action
The name of the XML file do not match naming convention	F-001	The name of the XML file is not consistent with the	Correct the filename and resubmit.

		naming convention	
The file cannot have the same filename as a file already sent	F-002	File has already been submitted once	Correct the filename and resubmit.
Previous sequence number was not the last sequence number successfully processed	F-003	Previous sequence number was not the last sequence number processed	Check the file naming sequence and correct file name
The submission referred to in the previous sequence number must have been received. This also means that the first submission received and/or accepted must have a previous sequence number of 000000	F-004	The corresponding file for the PreviousFileSequenceNumber has not been received	Determine the reason for missing file and take appropriate actions – e.g. resubmit the missing file, resubmit the file with the correct PreviousFileSequenceNumber
Validate that the file received fits to the corresponding XML schema	F-005	The file structure does not correspond to the XML schema : [result of XML validation]	Check the result of the validation, it should correspond to formats defined in the reporting instructions, and resend the file

The table below describes which file status will be used in the XML submission response file in conjunction with file errors in order to populate the XML submission response file.

File status	Definition	Additional information
ACPT	Accepted	File has been accepted, all content has been validated successfully
RJCT	Rejected	The complete file has been rejected and none of the content has been processed. This status is also used if all records in the file have been rejected following content validation. In this case there will be no associated file error codes.
PART	Partially Accepted	File has been accepted but not all of the content has been validated successfully. (Some records may have been rejected)

4.1   XML Schema Content Validation

A Validation Service within UDG will inspect each record for its content to ensure it meets the XML schema for that data submission. In turn this will generate a submission response file with the status for each record in the validated file.

4.1.1 Positions file content validation rules

The table below describes the content validation rules that will be applied to every commodity derivative position that has been submitted in a valid file.

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Field	Validation Rule	Error Code	Error Text
Date and time of report submission	The submission date/time must be the same or before the system date/time.	PRS-001	The date of report submission cannot be a future date
Date of the trading day of the reported position	Trading date must be the same or before the system date	PRS-002	The date of the trading day cannot be a future date
Date of the trading day of the reported position	Trading date cannot be earlier than five years before the current date	PRS-003	The date of the trading day cannot be more than five years old
Report Status	The new (NEWT) status can only be used for the first submission of a position report, or when the last report successfully processed with the same unique key as the NEWT had a status of cancel (CANC)	PRS-004	The value (NEWT) in the Report Status field is invalid
Report Status	The amended (AMND) status can only be used where the last report successfully processed with the same unique key as the AMND had a status of NEWT or AMND	PRS-005	The value (AMND) in the Report Status field is invalid
Report Status	The CANC status can only be used when the last report successfully processed with the same unique key as the CANC has a status of NEWT or AMND	PRS-006	The value (CANC) in the Report Status field is invalid
Reporting entity ID	If LEI is used, this field will be populated with a LEI accurately formatted and in the LEI database included in the Global Legal Entity Identifier Foundation (GLEIF) database maintained by the Central Operating Unit. 1. The status of the LEI shall be 'Issued', 'Lapsed', 'Pending transfer' or 'Pending archival'. 2. The InitialRegistrationDate of the LEI will be equal or before the trading date. 3. The EntityStatus is to be active. If the EntityStatus is inactive, the LastUpdateDate will be equal or after the trading date	PRS-007	The LEI of the reporting entity is invalid, or is not valid for the trade date
Reporting entity ID	If national identifier is used, the first 2 characters of the national identification code should be an ISO 3166 country code that was valid at the trading date	PRS-008	Reporting entity national identification code does not include a valid country code
Reporting entity ID	In case the CONCAT code is used, only the following characters are allowed: Capital Latin letters, Numbers, #. It should be a string of exactly 20 characters where first two characters are letters, the next 8 characters are numbers and the remaining characters are letters or #, where 11th and 16th	PRS-009	The format of the reporting entity identification code is incorrect

	characters are letters. In case national identification number or passport number is used, only the following characters are allowed: Capital Latin letters, Numbers, +, -. It can be a string of 3 to 35 characters, where first two characters are letters		
Position holder ID	If LEI is used, this field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit. 1. The status of the LEI shall be 'Issued', 'Lapsed', 'Pending transfer' or 'Pending archival'. 2. The InitialRegistrationDate of the LEI will be equal or before the trading date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date	PRS-010	The LEI of the position holder is invalid or is not valid for the trade date
Position holder ID	If national identifier is used, the first 2 characters of the national identification code should be an ISO 3166 country code that was valid at the trading date	PRS-011	Position holder national identification code does not include a valid country code
Position holder ID	In case the CONCAT code is used, only the following characters are allowed: Capital Latin letters, Numbers, #. It should be a string of exactly 20 characters where first two characters are letters, the next 8 characters are numbers and the remaining characters are letters or #, where 11th and 16th characters are letters. In case national identification number or passport number is used, only the following characters are allowed: Capital Latin letters, Numbers, +, -. It can be a string of 3 to 35 characters, where first two characters are letters	PRS-012	The format of the position holder identification code is incorrect
Ultimate parent entity ID	If LEI is used, this field shall be populated with a LEI accurately formatted and in the LEI database included in the GLEIF database maintained by the Central Operating Unit. 1. The status of the LEI shall be 'Issued', 'Lapsed', 'Pending transfer' or 'Pending archival'. 2. The InitialRegistrationDate of the LEI will be equal or before the trading date. 3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date	PRS-013	The LEI of the Ultimate Parent is invalid or is not valid for the trade date

Ultimate parent entity ID	If national identifier is used, the first 2 characters of the national identification code should be an ISO 3166 country code that was valid at the trading date	PRS-014	Ultimate Parent national identification code does not include a valid country code
Ultimate parent entity ID	In case the CONCAT code is used, only the following characters are allowed: Capital Latin letters, Numbers, #. It should be a string of exactly 20 characters where first two characters are letters, the next 8 characters are numbers and the remaining characters are letters or #, where 11th and 16th characters are letters. In case national identification number or passport number is used, only the following characters are allowed: Capital Latin letters, Numbers, +, -. It can be a string of 3 to 35 characters, where first two characters are letters	PRS-015	The format of the ultimate parent identification code is incorrect
ISIN	The reported identifying code of the contract must be valid for the reported trading day	PRS-016	The ISIN of the contract is invalid or is not valid for the trade date
Venue product code	When the Trading Venue Identifier is populated with a MIC (not XXXX or XOFF) the Venue Product Code, Trading Venue Identifier, and Notation of the Position quantity combination must be valid for the reported trading day. These fields will be validated using reference data held by the LME.	PRS-017	The Venue Product Code and/or Trading Venue Identifier is not recognised, or the combination is not valid for the trade date, or the Notation of the Position Quantity is not associated with the Venue Product Code.
Venue product code	Where Trading Venue Identifier is XXXX or XOFF, the Venue Product Code and Notation of the Position Quantity combination must be valid for the reported trading day. This field will be validated using reference data held by the LME	PRS-018	The Venue Product Code and/or Notation of the Position Quantity is not recognised, or the combination is not valid for the trade date.
Trading venue identifier	Trading Venue Identifier is populated with LME's MIC: XLME	PRS-019	Invalid Trading Venue code
Position maturity	Position Maturity must be equal to SPOT if Position Type is one of the following values: "EMIS" or "SDRV"	PRS-020	The Position Maturity of EMIS and SDRV contracts should be reported as SPOT
Notation of the position quantity	If the notation of the position quantity is not UNIT or LOTS then an alternative value must be provided	PRS-021	A notation must be provided
Notation of the position quantity	The free text {ALPHANUM-25} option for notation must not equal "UNIT" or "LOTS"	PRS-022	Notation provided for position quantity is invalid
Notation of the position quantity	The free text {ALPHANUM-25} option for notation must be unpopulated if the notation is "LOTS" or "UNIT"	PRS-023	Only one notation should be provided

Delta equivalent position quantity	Delta equivalent position quantity must be populated if Position Type is "OPTN	PRS-024	The Delta Equivalent Position Quantity field must be populated where the Position Type is OPTN
Delta equivalent position quantity	Delta equivalent position quantity must be blank if Position Type is any of the following values: "FUTR","SDRV" or "OTHR"	PRS-025	The Delta Equivalent Position Quantity field must be blank where the Position Type is FUTR, SDRV or OTHR
Internal System Error	Time out detected when writing record	PRS-026	Timeout System Error Please resubmit record

4.1.2 Personal Data file content validation rules

The table below describes the content validation rules that will be applied to Personal Identifiable Information that has been submitted in a valid file.

Field	Validation Rule	Error Code	Error Text
SubmissionDateTime	The submission date/time must be the same or before the system date/time.	PII-001	The date of report submission cannot be a future date
MemberMnemonic	Check if Member Mnemonic is valid	PII-002	Invalid Member Mnemonic
ShortCode	Check if Short Code in PRD is already assigned to another Long Code and Identifier Type	PII-003	Short Code in use for a different Long Code and Identifier Type
IdentifierType	Identifier Type must be a permitted value	PII-004	Invalid Identifier Type
CountryCode	If not populated and Identifier Type is C, P or N	PII-005	Country Code Required for Identifier Type C, P or N
LongCode	If populated and Identifier Type is A then Long Code must be a valid Algo ID	PII-006	Invalid Algo ID
LongCode	If populated and Identifier Type is L then Long Code must be a valid Legal Entity Identifier recorded with GLEIF	PII-007	Invalid LEI
LongCode	If populated and Identifier Type is N then Long Code must be a valid National Identifier format for the Country	PII-008	Invalid National ID
LongCode	If populated and Identifier Type is P then Long Code must be a valid Passport ID format for the Country. If format not stated, it must be from 6 to 12 characters with no special characters.	PII-009	Invalid Passport ID
FirstName	If Identifier Type is C, P or N then First Name must be populated	PII-010	First Name Required for Identifier Type C, P or N
Surname	If Identifier Type is C, P or N then Surname must be populated	PII-011	Surname Required for Identifier Type C, P or N
DOB	If Identifier Type is C, P or N then Date of Birth must be populated with a valid ISO date which is earlier than the system date	PII-012	Invalid Date of Birth
EffectiveDate	Effective Date must be populated with a valid ISO date	PII-013	Invalid Effective Date
EndDate	End Date must be populated with a valid ISO date or may be left null. If entered, the End Date must be after the Effective Date.	PII-014	Invalid End Date

Internal System Error	Time out detected when writing record	PII-015	Timeout System Error Please resubmit record
EndDate	Cannot add new record without adding an end date previous active record	PII-016	Invalid previous End Date
ShortCode	Invalid short code – it is not of the correct format or out of range	PII-017	Invalid Short Code

5   Frequency, availability

What	Time	Description
UDG	24/5	i.e between 00:00 on Monday to 23:59 on Friday to process files received
SFTP	24/7	to receive files from members although those files will only be processed as per the UDG system availability outlined above.