



UDG Interface Specification v3.0

Change History

Revision	Date	Section	Section Name	Change
3.0	23 Sep 25	All	-	Fundamental rewrite to take account of PS25/1 changes and OTC reporting.

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1 Introduction – Universal Data Gateway

The UDG exists to facilitate Member submission of the following files:

- Commodity Position Reporting (CPR)
- OTC Position Reporting (OTC)
- Personal Identifiable Information (PII)

The UDG is also used to allow Members to retrieve the following files:

- Post-Trade Transparency (PTT)
- Tradable Instruments Files (SOD TIF & EOD TIF)

This document describes the interaction of members with UDG for the submission, retrieval and validation of these files, as well as the feedback files sent by UDG to Members via SFTP.

For further information on each of the three files, please refer to the relevant specification documents.

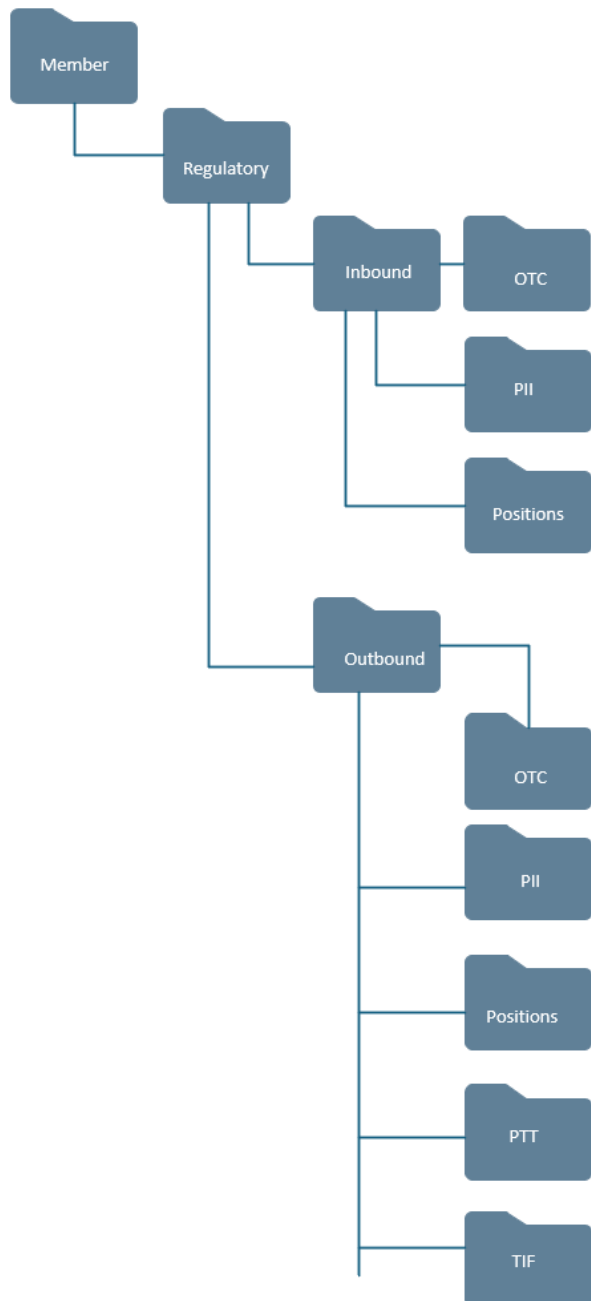
These are available on the LME website here:

[Key compliance notices | London Metal Exchange](#)

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

Files sent by members to UDG should 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.

It is the responsibility of members to delete their response 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 an appropriate XML submission response file will be returned.

3.1 Member Submitting to UDG

3.1.1 File Naming Convention

Members should upload XML files into the appropriate folders within the inbound folder of UDG.

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

For example:

- ABC_OTCSUB_000133-000132-25.xml
- ABC_POSSUB_000358-000357-25.xml
- ABC_PIISUB_000537-000536-25.xml

Component	Definition	Value
<MemberMnemonic>	3-character identifier of the member submitting the file to the LME.	XXX e.g. ABC
<FileType>	<p>A 6-character attribute identifying the type of information contained within the file.</p> <p>First 3 characters: "OTC" = OTC "POS" = Positions "PII" = Personal Information</p> <p>Second 3 characters: "SUB" = submission</p>	OTCSUB – For OTC POSSUB – For CPR PIISUB – for PII
<SeqNo>	A 6-digit sequence number, left padded with zeroes to uniquely identify the submission to the submitter.	nnnnnn e.g. 000001

Component	Definition	Value
	<p>The sequence numbers are unique to each <file type>.</p> <p>The first submission of each calendar year (regardless of business date) shall be 000001 and incremented for subsequent submissions. The sequence restarts each year.</p> <p>From 999999 this will roll over to 000001</p> <p>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:</p> <p>XXX_XXXXX_NNNNNN-NNNNNN-NN.xml</p>	
<PreviousSeqNo>	<p>The 6-digit sequence number of the previously accepted, or partially accepted, submission. This is used to ensure strict submission sequence processing.</p> <p>Note: when a submission fails and has been resubmitted with an incremented <SeqNo>, the <PreviousSeqNo> will be dependent on the previous submission status response from UDG:</p>	nnnnnn e.g. 000000

Component	Definition	Value
	<p>Accepted file - <SeqNo> for this file will count as the <PreviousSeqNo></p> <p>Partial - <SeqNo> for this file will count as the <PreviousSeqNo></p> <p>Reject - <SeqNo> for this file will NOT count as the <PreviousSeqNo></p> <p>Corrupt - <SeqNo> for this file will NOT count as the <PreviousSeqNo></p>	
<Year>	The last two digits of the year when the file was generated. For example, for a file created during 2025 the year will be 25.	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*

For example:

- ABC_OTCFDB_000133-25.xml
- ABC_POSFDB_000358-25.xml
- ABC_PIIFDB_000537-25.xml

Component	Definition	Value or Example Value
<MemberMnemonic>	3-character identifier of the member submitting the file to the LME.	XXX e.g. ABC

<FileType>	<p>A 6-character attribute identifying the type of information contained within the file.</p> <p>First 3 characters: “OTC” = OTC “POS” = Positions “PII” = Personal Information</p> <p>Second 3 characters: “FDB” = feedback response</p>	OTCFDB – For OTC POSFDB – For CPR PIIFDB – for PII
<SeqNo>	<p>A 6-digit sequence number to uniquely identify the response file. This should correspond to the <SeqNo> as per the submission file.</p>	nnnnnn e.g. 000001
<Year>	<p>The last two digits of the year when the file was generated. For example, for a file created during 2025 the year will be 25.</p>	nn

3.2.2 Successful Submission – feedback file

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

Component	Definition	Value or Example Value
RptSts	Status of the file validated as partial validation	Always ‘ACPT’
OrgnRcrdID	<p>CPR File: The Report Reference number submitted for the record in question;</p> <p>PII File: The Short Code submitted for the record in question</p>	ABCDEFGHIJKLMNO13
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>ABCDEFGHIJKLMNO13</OrgnlRcrdId>
      <Sts>ACPT</Sts>
    </RcrdSts>
    <RcrdSts>
      <OrgnlRcrdId>ABCDEFGHIJKLMNO14</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 or Example value
RptSts	Status of the file validated as partial validation	Always 'PART'
OrgnlRcrdID	CPR File: The Report Reference number submitted for the record in question	ABCDEFGHIJKLMNO12
Sts	Status of individual record	'ACPT' or 'RJCT'
VldtnRuleID	Error code	CPR: PRS-{NNN} OTC: OTC-{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) in the XML submission response file (refer to File Validation rules in section 4).

Please note that PII submissions cannot be partially accepted.

Only the rejected position records will have to be resubmitted by member via UDG. Members should not resubmit any previously accepted position records unless amendments to those records are required.

An example of a response for a partially successful submission 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>
      <OrgnIRcrdId>ABCDEFGHIJKLMNO12</OrgnIRcrdId>
      <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>
      <OrgnIRcrdId>LEIABCDEFGHIJKLMNO13</OrgnIRcrdId>
      <Sts>ACPT</Sts>
    </RcrdSts>
    <RcrdSts>
      <OrgnIRcrdId>LEIABCDEFGHIJKLMNO14</OrgnIRcrdId>
      <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 numbers dependent on whether the previous file was accepted or rejected and the response filename generated by UDG.

Please note that the same numbering convention applies for CPR, OTC and PII files.

Action	Submission file to UDG by Member <i><MemberMnemonic>_<FileType>_<SeqNo>-<PreviousSeqNo>-<Year>.xml</i>	Response File Generated from UDG <i><MemberMnemonic>_<FileType>_<SeqNo>-<Year>.xml</i>	Status of Response File
Member submits CPR file for first time	ABC_POSSUB_000001-000000-25.xml	ABC_POSFDB_000001-25.xml	ACPT
Member submits 2nd CPR file	ABC_POSSUB_000002-000001-25.xml	ABC_POSFDB_000002-25.xml	PART
Member submits 3rd CPR file	ABC_POSSUB_000003-000002-25.xml	ABC_POSFDB_000003-25.xml	RJCT
Member re-submits 3rd CPR file as was rejected	ABC_POSSUB_000004-000002-25.xml (note: the <PreviousSeqNo> in this action is set to the last successful processed sequence number)	ABC_POSFDB_000004-25.xml	ACPT

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](#)):

Action	Submission file to UDG by Member	Response File Generated from UDG
Member submits Commodity Position file with incorrect naming format	ABC_POSSUBB_000001_000000_2025.xml <fileType> incorrect format <year> incorrect format Underscore used instead of hyphen	ABC_POSSUBB_000001_000000_2025.xml
Member submits PII file with incorrect naming format	ABC_PIISUB_0000001-000000-25.xml <SeqNo> number of characters incorrect	ABC_PIISUB_0000001_000000_25.xml

4 File Validation Rules

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

- File naming convention
- 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. It is the member's responsibility to then correct the filename and resubmit the file to UDG.

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

If a record 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.

Should a member receive a submission response file indicating the file has been rejected it is their responsibility to ensure the relevant corrections are made and the file is resubmitted to UDG. Should the member receive a submission response file indicating the file was partially accepted (only relevant to CPR) it is their responsibility to determine whether the rejected record must be resubmitted or not. Any rejected records will not be onward transmitted to the FCA.

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.

Validation	Error reference	Error message	Action
The name of the XML file does not match naming convention	F-001	The name of the XML file is not consistent with the naming convention	Correct the filename and resubmit.
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 previous sequence number 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 previous sequence number.
Validate that the file received fits to the corresponding XML schema. Where it does not correspond the error message will identify the relevant Report Reference Number and field e.g. ReportRefNo: [12345] Field: [RpEnt]. Only the first error identified will be reported.	F-005	The file structure does not correspond to the XML schema. Error in ReportRefNo :[1] Field: [2]	Check the result of the validation, it should correspond to formats defined in the reporting instructions. Resolve the error, ensure the rest of the file is checked for similar errors and resend the file.

Validation	Error reference	Error message	Action
The sequence number of the file is lower than the last sequence number processed. Sequence numbers should be sequentially higher	F-006	The sequence number is lower than the last sequence number processed	Check the file naming sequence and correct file name
The file is not in a valid XML format. This validation will occur prior to any schema validation (Error Code F-005). Where an issue is detected the error message will identify the relevant line and further details about the specific error. Only the first error identified will be reported.	F-007	The file is not in a valid XML format. Error at Line:[3] Message:[4]	Check the result of the validation. Resolve the error, ensure the rest of the file is checked for similar errors 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 content has been validated successfully. Therefore, some records will have been rejected and not processed.

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 CPR 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.

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

Field	Validation Rule	Error Code	Error Text
Reporting entity ID	<p>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.</p> <p>1. The status of the LEI shall be 'Issued', 'Lapsed', 'Pending transfer' or 'Pending archival'.</p> <p>2. The InitialRegistrationDate of the LEI will be equal or before the trading date.</p> <p>3. The EntityStatus is to be active.</p> <p>If the EntityStatus is inactive, the LastUpdateDate will be equal or after the trading date</p>	PRS-007	The LEI of the reporting entity is invalid, or is not valid for the trade date
Reporting entity ID	<p>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</p>	PRS-008	Reporting entity national identification code does not include a valid country code

Field	Validation Rule	Error Code	Error Text
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 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-009	The format of the reporting entity identification code is incorrect
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

Field	Validation Rule	Error Code	Error Text
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

Field	Validation Rule	Error Code	Error Text
Ultimate parent entity ID	<p>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.</p> <p>1. The status of the LEI shall be 'Issued', 'Lapsed', 'Pending transfer' or 'Pending archival'.</p> <p>2. The InitialRegistrationDate of the LEI will be equal or before the trading date.</p> <p>3. The EntityStatus shall be Active or if the EntityStatus is Inactive, the LastUpdateDate shall be equal or after the trading date</p>	PRS-013	The LEI of the Ultimate Parent is invalid or is not valid for the trade date
Ultimate parent entity ID	<p>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</p>	PRS-014	Ultimate Parent national identification code does not include a valid country code

Field	Validation Rule	Error Code	Error Text
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

Field	Validation Rule	Error Code	Error Text
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
	An invalid reporting entity type has been detected (relevant to Reporting Entity ID field). Valid reporting entity types are LEI, Passport, National ID, or CONCAT	PRS-027	Unknown ID Type

Field	Validation Rule	Error Code	Error Text
	A mandatory field has been omitted, or the content of a mandatory field is empty or contains all white space	PRS-028	Mandatory Field Missing – [FieldName]
Date of the trading day of the reported position	Only dates post implementation of MiFID II (3 January 2018) are valid for the reporting of a position.	PRS-029	The date of the trading day (BusDt) cannot be before 3rd January 2018
Date and time of report submission	If the date reported in the BusDt field is the same as the date of file submission then the submission to UDG must be made after 21:00.	PRS-030	File must be received after 21:00 (system time) if the BusDt is for the current date
Report Reference Number	This reference should be unique within the file submission. If multiple instances of the reference are found the records will be rejected.	PRS-031	The Report reference number (ReportRefNo) should be unique within the file
Position Holder Contact Email	Whitespace is not allowed at the start, end or in the middle of this value.	PRS-032	Position Holder Contact Email contains whitespace
Parent Position Holder Contact Email	Whitespace is not allowed at the start, end or in the middle of this value.	PRS-033	Parent Position Holder Contact Email contains whitespace

4.1.2 PII file content validation rules

The table below describes the content validation rules that will be applied to PII 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	Must be populated	PII-005	Invalid country code
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 meet the National ID format the LME has determined for the country identified in the Country Code field. Should the format have not been determined then the value must be between 6 and 35 characters.	PII-008	Invalid National ID

Field	Validation Rule	Error Code	Error Text
LongCode	If populated and Identifier Type is P then Long Code must meet the Passport ID format the LME has determined for the country identified in the Country Code field. Should the format have not been determined then the value must be between 6 and 35 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
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

Field	Validation Rule	Error Code	Error Text
-	<p>Where a field is defined as “Mandatory” then:</p> <p>The tags for the field must be present in the XML</p> <p>The value in the tags cannot be empty</p> <p>The value in the tags cannot be all white space</p> <p>The UDG will specifically verify these three items for mandatory fields. If a mandatory field is not present, is empty or contains all white space then the generic error code PII-018 (Mandatory Field Missing) will be returned.</p> <p>UDG will append the name of the missing field to this text when writing the feedback file</p>	PII-018	Mandatory Field Missing – {field name}
-	<p>UDG will verify the natural person type (Type ‘C’) CONCAT conforms to the following format:</p> <p>[country code][DOB][firstname, Surname]</p> <p>Eg: GB19900704JOHN#SMITH as specified in the PII Interface Specification</p>	PII-019	

4.1.3 OTC file content validation rules

The table below describes the content validation rules that will be applied to an OTC position submission that has been submitted in a valid file.

Id	Definition
OTC-001	The date of report submission cannot be a future date
OTC-002	The date of the business date cannot be a future date
OTC-003	The date of the business date cannot be more than five years old
OTC-004	The value (NEWT) in the Report Status field is invalid
OTC-005	The value (AMND) in the Report Status field is invalid
OTC-006	The value (CANC) in the Report Status field is invalid
OTC-007	The Report reference number (ReportRefNo) should be unique within the file
OTC-008	Mandatory field missing
OTC-009	Invalid member mnemonic
OTC-010	The LEI of the position holder is invalid or is not valid for the business date
OTC-011	One of short code, position holder name or LEI must be populated
OTC-012	Metal code is invalid
OTC-013	The Contract Description field must be populated where the Contract Type is OTHR
OTC-014	Prompt cannot be before business date
OTC-015	The Option Sub Type field must be populated where the Contract Type is OPTN
OTC-016	The Strike field must be populated where the Contract Type is OPTN
OTC-017	The Delta Position field must be populated where the Contract Type is OPTN
OTC-018	Timeout System Error. Please resubmit record
OTC-019	The Option Sub Type field is not permitted if Contract Type is not OPTN
OTC-020	The Strike field is not permitted where the Contract Type is not OPTN
OTC-021	The Delta Position field is not permitted where the Contract Type is not OPTN
OTC-022	The Averaging From field must be populated where the Contract Type is AVRG
OTC-023	The Averaging To field must be populated where the Contract Type is AVRG

5 System Availability

What	Time	Description
UDG	24/5	UDG will process files between 00:00 on Monday to 23:59 on Friday each week. Files submitted outside of these times will be received but not validated or processed until the service reopens on the next valid UK business day.

6 Data centre switchover testing

The LME periodically conducts data centre switchover testing at weekends. During these test periods, files sent via SFTP to UDG may not be received.

The LME will communicate details of these test periods in advance and will reach out to Members who submit files at weekends to request that they change their submission schedule for affected weekends.

7 UK bank holidays

CPR files do not need to be submitted for a business day that falls on a UK bank holiday. UK bank holidays are always LME market holidays.

For example, no CPR files need to be submitted for BD 2025-12-25 or 2025-12-26 as these are both LME market holidays.

Full details of LME market holidays can be viewed on the LME Trading Calendar via the below link:

[Exchange holidays | London Metal Exchange](#)

8 Contacts

Please see below table for information on which team to contact if you have a query:

Subject	Team email
CPR Reporting	regulatoryreporting@lme.com
PII/OTC Reporting	marketsurveillance@lme.com
SFTP Connectivity (MT, Production)	tam@lme.com