



# UPLOAD

## Technical - Overview

Integration Team

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# AGENDA



## ➤ Industry directories

- RMA Upload
- EBA Upload
- SWIFT REF
- TARGET 2 Upload
- SSI Upload
- EISCD Upload
- GPI Upload

## ➤ SOA static data (profiles handling)

# RMA UPLOAD - OVERVIEW



RMA Table Column Name	Value
UID_RMA_PROFILE	Concatenation of Issr, Crspdt, FrDt and ToDt from RMA file record
DEPARTMENT	Derived based on system parameter DEF_DEPT for the office of Crspdt BIC8
OFFICE	Derived based on Crspdt BIC8
ISSUER	Issr from the RMA file
CORRESPONDENT	Crspdt from the RMA file
EFFECTIVE_DATE	Office Business date for which the record is inserted.
PENDING_ACTION	Status of the record. Possible values: <ul style="list-style-type: none"><li>• CR: Created</li><li>• DL Deleted</li><li>• AC Activated</li><li>• UP: Updated</li></ul>
PROFILE_CHANGE_STATUS	NO
REC_STATUS	AC

RMA is received and uploaded using the RMA XML file

RMA validation checks the relationship between counterparties

TIME_STAMP	Server date time
START_DATE	FrDt from the RMA file. If the value in the RMA file is blank, the default value is 01/01/2000
END_DATE	ToDt from the RMA file. If the value in the RMA file is blank, the default value is 31/12/2999
INCLUDED_MSG_CATEGORIES	List of SWIFT Message Categories
EXCLUDED_SPECIFIC_MTS	List of excluded message types in the selected category
INCLUDED_SPECIFIC_MTS	List of included message types in the selected category

# RMA UPLOAD - PROCESSING



- Create new RMA records - when the status is enabled and there is a new relationship between the issuer and correspondent
- Modify RMA records - with status Enabled that holds a changed relationship between issuer and correspondent can be updated
- Delete RMA records - with status Rejected, Revoked or Deleted that holds a changed relationship between issuer and correspondent can be deleted
- Validations for file header and record during upload. MOP, MT, routing during processing

```
- <Sw:RMAFileHdr>
- <Sw:Bic8Lst>
  <Doc:Bic8>FNDTUS2L</Doc:Bic8>
  <Doc:Bic8>BARCGB2L</Doc:Bic8>
</Sw:Bic8Lst>
- <Sw:SvcLst>
  <Doc:SvcNm>swift.fin</Doc:SvcNm>
</Sw:SvcLst>
<Sw:FileMaintncSts>Complete</Sw:FileMaintncSts>
<Sw:FileDesc>EXPORT RMA FUNDTech AND BARCLAYS OFFICES</Sw:FileDesc>
<Sw:CrDtTm>2009-05-01T08:48:35Z</Sw:CrDtTm>
<Sw:TltRecrd>15890</Sw:TltRecrd>
- <Sw:LAU>
  <Sw:LAUVal>CKPADFP7LEuVbz5QRoat2Q==</Sw:LAUVal>
</Sw:LAU>
</Sw:RMAFileHdr>
```

```
- <Sw:RMAREcrd>
  <Sw:Tp>Received</Sw:Tp>
  <Sw:RMASts>Enabled</Sw:RMASts>
  <Doc:Issr>AAAARSBG</Doc:Issr>
  <Doc:Crspdt>FNDTUS2L</Doc:Crspdt>
  <Doc:SvcNm>swift.fin</Doc:SvcNm>
  <Doc:IssdDtTm>2008-12-09T10:45:12Z</Doc:IssdDtTm>
- <Doc:VldtyPrd>
  <Doc:FrDt>2009-12-01</Doc:FrDt>
  <Doc:ToDt>2009-12-10</Doc:ToDt>
</Doc:VldtyPrd>
</Sw:RMAREcrd>
```

# RMA UPLOAD – BUSINESS SETUP



## ➤ System parameters

System Parameter	Description
DEF_DEPT	The department to use (per office) for upload of data by the RMA upload
RMAULDVALIDITY	RMA File Upload Date Validity. The RMA file is rejected if its creation date is earlier than 'Server Date – RMAULDVALIDITY'.

## ➤ SWIFT RMA Profile

Field	Description
Correspondent	The BIC of the bank (Local Office), who received the authorization
Issuer	The BIC of the bank's counterparty, who issued the authorization
Start Date	Start date of the relationship between Correspondent and issuer
End Date	End date of the relationship between Correspondent and issuer. If it includes date and Start Date is not empty it must be later than Start Date.
Include message categories	The group of message categories included (optional)
Include/Exclude message types	The message types included and/or excluded (optional)

## ➤ Task

Field	Description
Task Name	Name of the task, for example, SWIFT RMA Directory
Description	Details of the task
Upload Type	Partial or Full
Office Type	Specific Office or All Offices
Department and Office	Only enabled when Office Type is specific office. It generates a list all offices the user has permission to with value defaulted to the user's own office.

# EBA UPLOAD - PROCESSING



The EBA Upload provides the identification of Financial Institutions as participants in SEPA Credit Transfer and/or SEPA Direct Debit (Core and B2B) Schemes and hold the routing relationship between DP (Direct Participant) and IP (Indirect Participant) in those schemes.

## Indirect Participants

Membership Field Name	EBA RTF Field	Default Value for Add only/Comments
MEMBER_ID	IP BIC11	
MOP		The derived MOP.
MEMBERASSOCIATE		'A'
MEMBERIFASSOCIATE	DP BIC8 + XXX	Although the DP BIC in the file is BIC8, the MEMBERIFASSOCIATE will hold a BIC11.
EFFECTIVE_DATE		System Date
VALID_FROM_DATE	Init Date	
VALID_TO_DATE	End Date	
MEMBER_TYPE		'SA'
PARTICIPANT_TYPE	Status= R-ONLY	'RO' – Only for SDD, when the status = R-ONLY, the PARTICIPANT_TYPE will be set to 'RO', no value will be set in all other cases.
AOS_TYPE_ALLOWED	SCT – Payment Type Allowed SDD – Debit Type Allowed	When either the Payment/Debit Type Allowed is blank, the DB field will remain empty.

## Direct Participants

EBA RTF Field	Default Value for Add only/Comments
DP BIC8 + XXX	The membership received is always for BIC8 but the membership record in GPP DB is saved as BIC11.
	The derived MOP.
	'M'
	System Date
Init Date	
End Date	
	'SA'
Status= R-ONLY	'RO' – Only for SDD, when the status = R-ONLY, the PARTICIPANT_TYPE will be set to 'RO', no value will be set in all other cases.
SCT – Payment Type Allowed SDD – Debit Type Allowed	When either the Payment/Debit Type Allowed is blank, the DB field will remain empty.

# EBA UPLOAD– BUSINESS SETUP



## ➤ Task

Field	Description
Task Name	EBA Upload
Description	The EBA Upload task enables you to upload EBA membership records from an external file.
Office Type	Specific office or all offices

## ➤ Errors

Error Description	Notes
No party exists for BIC  1 When  1 is the BIC received in the RTF.	Party could not be found in GPP
EBA Routing Tables Upload ended successfully	
EBA Routing Tables Upload has failed	
A database exception has occurred:  1 When  1 – Oracle error number and text	A database exception has occurred: DB connection failed
A system exception has occurred:  1 When  1 – application error text	A system exception has occurred: System not available
EBA Routing Tables upload failed. RTF upload file not found in <<File Directory path >>.	

# SWIFT REF, SEPAPLUS, IBANPLUS



Bank Directory Plus - contains rich information on all financial institutions including all BIC codes, national bank codes of more than 140 countries (BICPlusIBAN directory contained 72 countries), institutions' hierarchies (HQ, national branches, foreign branches) and other data that is unique

The SEPAROUTING file contains data that is needed to send SEPA payments to the right SEPA-ready destination using SEPA-ready channels.

The IBAN Plus contains bank's IBAN-related details such as name, national bank codes embedded in IBANs and BICs used with IBANs. IBAN Plus contains data for all 32 SEPA countries and the related territories, and most of the non-SEPA countries that have adopted IBAN.

## Entries actions

- **U** (unchanged) - ignored
- **M** (modified) – update record if not found treat as **A**
- **A** (added) insert new if duplicated treat as **M**
- **D** (deleted) apply soft or hard depending on record date

## Updated profiles:

- **CUSTOMERS**
- **CURRENCY\_CFG**
- **MEMBERSHIP**



# TARGET2 UPLOAD - OVERVIEW



The TARGET2 directory lists the institutions that can be addressed in TARGET2. It contains Direct and Indirect participants' BIC addresses. The Directory provides the routing information for TARGET2 payments and is organized alphabetically by institution.

## ➤ System parameter

System Parameter	Description
T2DIRFPATH	Specifies the path for TARGET2 upload.

## ➤ Task

Field	Description
Name	Name of the profile.
Description	Description of the profile.
General Information	
Task Name	Name of the task.
Description	Description of the task.
Input Parameters	
Upload Type (Partial or Full)	The type of Upload, Full or Partial.
File Name	Name of the Upload file.
File Path	Server directory location.

# SSI UPLOAD



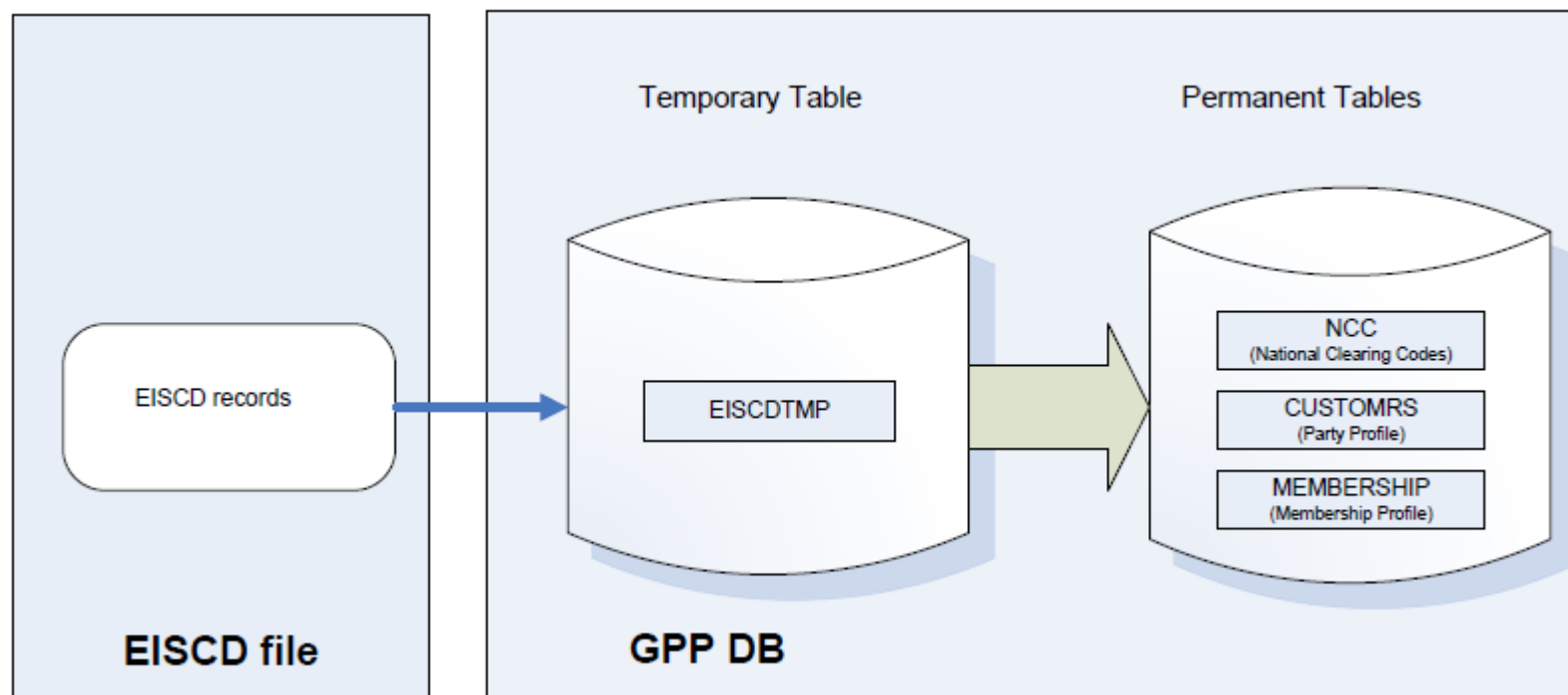
SWIFTRef SSI data provides worldwide standing settlement instructions for retail and wholesale payments, ensuring a flawless straight-through payments process.

The SWIFTRef SSI directory contains three different types of files:

- **SSI plus** – that contains SSIs for retail and wholesale payments
- **SSI Retail** - SSIs for retail payments (commercial payments)
- **SSI Wholesale** - SSIs for wholesale (FX, MM, Derivatives - cash payments)

# EISCD UPLOAD - OVERVIEW

The EISCD upload task uses the data contained in the file to update the Financial Institution tables (NCC and CUSTOMRS) as well as Membership tables within GPP. Each branch or bank office in the EISCD file is identified by either Sorting code, or BIC and Sorting code.



# EISCD UPLOAD – CUSTOMERS & NCC



NCC Field Name	NCC Profile Field Label	EISCD Field Name	Default Value (for Add only)
NCC_CODE	Code	Sorting code	
NCC_TYPE	NCC Type		'SC'
CUST_CODE	Customer Code		From CUSTOMRS, links between bank represented in the Parties profile and the NCC profile

## NCC

## CUSTOMERS

CUSTOMRS Field Name	Parties Profile Field Label	EISCD Field Name	Default Value (for Add only)
CUST_NAME	Name	Short name of owning bank	
FULL_NAME	Full name	Full name of owning bank	
SWIFT_ID	BIC/BEI	BIC	
BRANCHINFO	Branch information	Short branch title	
CUST_CODE			If BIC received from EISCD file, CUST_CODE = Concatenation of DEF_OFFICE, 'SA' and BIC (11 chars)  Else (no BIC, only Sorting code) CUST_CODE = Concatenation of DEF_OFFICE, 'SC', and Sorting code

# EISCD UPLOAD – MEMBERSHIP



The system option EISCD\_MOPS determines if any of the offices in GPP is a member of the clearing/clearings that can be uploaded from the EISCD file (Bacs, CHAPS Sterling and Faster Payments)

Membership Field Name	EISCD Field Name	Default Value for Add only/Comments
CHAPS Sterling clearing		
MEMBER_ID	Sorting Code/BIC	
MOP		Value of 'C' from EISCD_MOPS
MEMBERASSOCIATE		
MEMBERIFASSOCIATE		
EFFECTIVE_DATE		System Date
MEMBER_TYPE		'SA' for MEMBER_ID = BIC 'SC' for MEMBER_ID = Sorting Code
Bacs Clearing		
MEMBER_ID	Sorting Code	
MOP		Value of 'B' from EISCD_MOPS
MEMBERASSOCIATE		'M'
MEMBERIFASSOCIATE		
EFFECTIVE_DATE		System Date
MEMBER_TYPE		'SC'
Faster Payments clearing		
MEMBER_ID	Sorting Code	
MOP		Value of 'F' from EISCD_MOPS
MEMBERASSOCIATE		'M'
MEMBERIFASSOCIATE		
EFFECTIVE_DATE		System Date
MEMBER_TYPE		'SC'

# GPI UPLOAD – OVERVIEW

Gpi directory is used by financial institutions that use the data in the SWIFT gpi files to look up financial institutions' participation and reachability through domestic and international clearings and settlement systems within the scope of gpi. In addition, gpi directory is used to decide on payment routing options.

## File Types

- Daily full file - Published once a month. Only required for an optional data resynchronization.
- Daily delta file - Published every day, including the weekends. Contains only the changes of the previous day.
- Monthly full file / Monthly delta file - One delta file and one full file, published on the same day. Users can apply the delta files only, the full files only, or a mix of the two (but not in the same month).

Task name : SWIFT GPI Directory Upload

# STATIC DATA SERVICES



This service (profileMultiActions - action) enables a third party application to perform different actions on a static data profile, such as Save, Hold, Delete and Activate. Applicable for Customers, Accounts, Calendar and etc... uploads

Enables multiple actions on multiple records in a single request. This service can be used for static data uploads. Supports all actions for this service using these values in the **ProfileActionType** (**SV**: Save ,**HD**: Hold, **DL**: Delete, **AC**: Activate, **DC**: Decline, **AP**: Approve )

*Note:* When working from several threads against several GPPs,

- The sender thread must wait until a request is complete, meaning there is a successful SOAP response for the specific request before sending the 'APPROVE'.
- The processing duration of a request to change a profile is significantly longer compared to the processing duration of the APPROVE message. This means that when a request for change and an APPROVE for that profile are sent asynchronously, in most cases the handling of the APPROVE request will finish before the first request is done, and the record will stay in PENDING state.
- Apply Changes is NOT relevant in this activity, as the UI displays the database status, and not the cache. This means that there is no need to send apply\_changes after each request or approve, in order for the updates to the profiles to appear in the UI. Apply changes is only applied on the cache for processing purposes.

# STATIC DATA SERVICES



```
<soap:Envelope xmlns:soap="http://www.w3.org/2003/05/soap-envelope"
xmlns:prof="http://fundtech.com/SCL/ProfileActionsService"
xmlns:stat="http://fundtech.com/SCL/StaticDataCommonTypes">
  <soap:Header>
    <q2:FndtHeader xmlns:q2="http://fundtech.com/SCL/CommonTypes">
      <q2:credentials>
        <q2:UserID>ADMIN6</q2:UserID>
        <q2:Role>ADMIN</q2:Role>
      </q2:credentials>
    </q2:FndtHeader>
  </soap:Header>
  <soap:Body>
    <prof:ProfileMultiActionsRequest>
      <stat:header>
        <stat:UserID>U_AUDIT</stat:UserID>
      </stat:header>
      <prof:profileID>459</prof:profileID>
      <prof:effectiveDate>2010-11-17</prof:effectiveDate>
      <prof:enableMaxAllowedErrors>true</prof:enableMaxAllowedErrors>
      <prof:maxAllowedErrors>1</prof:maxAllowedErrors>
      <prof:records>
        <stat:record action="SV" >
          <stat:field name="OFFICE" >US1</stat:field>
          <stat:field name="DEPARTMENT" >PSV</stat:field>
          <stat:field name="CUST_CODE" >ABCD</stat:field>
          <stat:field name="COMPANY.BUS_REG_NO" >12345</stat:field>
        </stat:record>
        <stat:record action="HD" >
          <stat:field name="OFFICE" >US1</stat:field>
          <stat:field name="DEPARTMENT" >PSV</stat:field>
          <stat:field name="CUST_CODE" >ABCD</stat:field>
          <stat:field name="BUS_REG_NO" >12345</stat:field>
        </stat:record>
      </prof:records>
    </prof:ProfileMultiActionsRequest>
  </soap:Body>
</soap:Envelope>
```

This **ProfileMultiActions** request shows these actions:

- **Save:** Indicated by **SV** in the **action** attribute of the **record** element. The request saves a new profile entry in the database with the specified values.
- **Hold:** Indicated by **HD** in the **action** attribute of the **record** element. The request sets the specified profile entry with a **HOLD** status.

```
<ProfileMultiActionsResponse>
  <returnCode>0</returnCode>
  <description></description>
  <errorsList>
    <error>
      <code></code>
      <description></description>
    </error>
  </errorsList>
</ProfileMultiActionsResponse>
```



# Thank you

**Arnab Podder**  
Integration Team

[Arnab.podder@finastra.com](mailto:Arnab.podder@finastra.com)

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