



BX Swiss AG & Seturion AG

Trade Reporting Interface

Upload Specification

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Table of contents

I. Introduction	3
1. Purpose and Background	3
2. Version table	3
II. Technical Information	3
3. Security Model.....	3
4. Manual Data Upload	4
5. CURL-Upload	4
6. Test Environment	4
III. Upload files	5
7. File Naming Conventions	5
8. Content Check.....	5
9. Input File Requirements	5
10. Reportable Data fields	7
11. Reporting Member IDs	8
12. Report Reversal/Deletion.....	8
IV. Validation Response.....	8
13. General Information.....	8
14. Response Format.....	8
15. Success Response.....	9
16. Response in case of errors	9
17. Error Messages	9
V. Operations.....	10
18. Business Continuity Management.....	10
19. Operating Hours & Support	11

I. Introduction

1. Purpose and Background

This is a description of the existing trade reporting interface provided by BX Swiss AG and Seturion AG (collectively referred to as "BX"). It is used by reporting members to comply with article 39 FMIA (Financial Market Infrastructure Act) for trade reporting.

2. Version table

Document version	Release date	Information
V0.1	-	Version 0.1 published by BX.
V0.2	28.04.2023	Formal review and minor edits Table of contents added.
V0.3	18.05.2026	Formal review and minor edits. Extended scope to include Seturion AG.

II. Technical Information

3. Security Model

To successfully report trades over HTTPS the following security measures should be met:

- SSL certificates at <https://test.bxswiss.exchange/> and <https://www.bxswiss.com/> should be accepted.
 - TLS 1.1 or TLS 1.2 is supported.
 - A reporter account should be obtained with username and password.
- Supported protocols:** TLS 1.1, TLS 1.2
 - Supported ciphers:** Triple DES 168, AES 128/128, AES 256/256
 - Supported hashes:** MD5, SHA, SHA 256, SHA 384, SHA 512
 - Supported KeyExchanges:** Diffie-Hellman, PKCS, ECDH
 - Supported Cipher Suites:**
 - TLS_ECDHE_RSA_WITH_AES_256_GCM_SHA384
 - TLS_ECDHE_RSA_WITH_AES_128_GCM_SHA256
 - TLS_ECDHE_RSA_WITH_AES_256_CBC_SHA384
 - TLS_ECDHE_RSA_WITH_AES_128_CBC_SHA256
 - TLS_ECDHE_RSA_WITH_AES_256_CBC_SHA
 - TLS_ECDHE_RSA_WITH_AES_128_CBC_SHA
 - TLS_ECDHE_ECDSA_WITH_AES_256_GCM_SHA384

- TLS_ECDHE_ECDSA_WITH_AES_128_GCM_SHA256
- TLS_ECDHE_ECDSA_WITH_AES_256_CBC_SHA384
- TLS_ECDHE_ECDSA_WITH_AES_128_CBC_SHA256
- TLS_ECDHE_ECDSA_WITH_AES_256_CBC_SHA
- TLS_ECDHE_ECDSA_WITH_AES_128_CBC_SHA
- TLS_RSA_WITH_AES_256_GCM_SHA384
- TLS_RSA_WITH_AES_128_GCM_SHA256
- TLS_RSA_WITH_AES_256_CBC_SHA256
- TLS_RSA_WITH_AES_128_CBC_SHA256
- TLS_RSA_WITH_AES_256_CBC_SHA
- TLS_RSA_WITH_AES_128_CBC_SHA
- TLS_RSA_WITH_3DES_EDE_CBC_SHA

4. Manual Data Upload

Reports can be manually uploaded to the BX reporting tool via web interface:
<https://www.bxswiss.com/extranet/login>.

5. CURL-Upload

The reporting office technical interface is a web service available at:

- Test environment: <https://test.bxswiss.exchange/extranet/curlupload>
- Production environment: <https://www.bxswiss.com/extranet/curlupload>

The client web service call – irrespective of the technology used – should be equivalent to the following curl invocation:

```
curl --form user=reporter@<party-id><suffix> --form password=<password> --form  
upload=@<file-name> https://test.bxswiss.exchange/extranet/curlupload
```

where:

<party-id><suffix> - is the identifier assigned to a reporting member user with an added
suffix e.g. _aw

<password> - is a password assigned to that user account

<file-name> - is the name/location of the (input) file to be uploaded

Calls to the web service are **synchronous**. File processing happens within the call. The client receives the answer in the response body.

6. Test Environment

BX also maintains a Test Environment. User accounts will be created for reporting members on request via meldestelle@bxswiss.com or via reportingoffice-ch@seturion.com.

It can be accessed via

<https://test.bxswiss.exchange/extranet/login>

III. Upload files

7. File Naming Conventions

The file names should not be less than two chars and on the extension must be .csv or .txt. Duplicate file names are allowed.

8. Content Check

Uploaded data is compared to earlier records. If the same data is uploaded twice, the file is rejected. This check is based on the complete contents of the file (as a hash SHA256 comparison).

Please note: There is no unique ID used to identify the report (as e.g., compared to the BX Transaction Reporting interface where TxReportIDs are used to uniquely identify records).

9. Input File Requirements

The input file is expected to be a .csv or .txt file, with the following characteristics:

- EOL character: Windows ("\\r\\n")
- Charset: UTF8 or ANSI (as a subset of UTF8)
- Field delimiter: ';' character (semicolon)
- Body lines contain data.
- The file doesn't require a header as such as the reportable data fields do not have an attribute name. The following checks are done:
 - The first column must start with 'T1.0'
 - The number of columns may not exceed 14

The maximum file size is 4 MB. There is no explicit limitation on the number of lines, but the file size restriction restricts the maximum number of lines indirectly. 20 concurrent calls to the web service per reporter are accepted but we advise to report in serial (one report after the other).

For smoother and more reliable processing, we suggest using smaller file sizes, ideally around **500KB to 1MB**. This helps ensure uninterrupted processing, as larger files can sometimes lead to longer handling times during peak periods, which may cause security safeguards to close connections that appear inactive.



10. Reportable Data fields

#	Short description	Validation	Allowed values	Comment
1	Interface identification	Mandatory	Allowed value: T1.0	Trade reporting interface identification. Must always be set to 'T1.0'.
2	Buy / sell indicator	Mandatory	1 = Buy 2 = Sell	Identifies whether the trade was a buy or a sell. Should be defined from the perspective of the reporting member.
3	Agent / principal trade indicator	Mandatory	Kunde = Trade executed on behalf of client, broker acts as agent Eigen = Proprietary trading, own book	
4	ISIN	Mandatory	ISO 6166 ISIN (12 characters alphanumeric code)	Unknown ISINs will be ignored.
5	Currency of the trade	Optional, defaulted if empty	ISO 4217 currency code	If not set, "CHF" by default
6	MIC of the trading venue	Optional, defaulted if empty	ISO 10383 (4 digits)	If not set, "XBRN" by default
7	Counterparty description	Mandatory	Text(50)	BX reporting member ID. If required, the legal name of the counterparty or "other" can be used.
8	Size	Mandatory	22 digits before, 6 after decimal point	Number in units
9	Unit price	Mandatory	22 digits before, 6 after decimal point	Execution price of one instrument
10	Date and time of the trade	Mandatory	YYYYMMDD-hh:mm:ss	Swiss local time (CET/CEST)
11	Settlement date	Optional	YYYYMMDD	If provided, must be at or after trade date
12	Internal description	Optional	Up to 512 alphanumeric characters	Free text to be used by the reporting member for internal purposes. Note: Any input exceeding the 512 characters is being truncated.
13	Time to publish	Mandatory	I = immediate	Can only be 'I'.
14	Transaction type	Mandatory	Off-Trade = report for a trade executed off the exchange (Trade Report)	We recommend leaving this field empty, it will automatically be set to "Off-Trade" by default.

11. Reporting Member IDs

The reporting member ID can be used to identify the counterparty (see reportable field no. 7). The list of BX reporting members can be downloaded from the respective website:

- BX Swiss: https://www.bxswiss.com/downloadfile/regulatorydocuments/Reporting_Member_P.xls
- SeturionX: <https://seturionx.com/en/document/list-of-reporting-members>

If the reporting member is not on the list, use its legal name or "other".

12. Report Reversal/Deletion

Successfully uploaded reports cannot be amended. Trade reports must be deleted manually via the web interface until 23:59 on the same day that the initial trade report was made. A later deletion is not possible.

IV. Validation Response

13. General Information

The response contains either a confirmation of the successful processing or a list of errors. The processing is done based on the "all-or-nothing" principle. If there are any errors in the file, the whole file will be rejected.

The error array will contain all errors found in the whole file and does not stop at the first error.

14. Response Format

The response data is structured as JSON format. Please find some examples below in paragraphs 15 and 16.

15. Success Response

In case of a successful processing, the following response is provided:

```
{
  "Errors": [],
  "SkippedRecords": [],
  "Imported": <number-of-data-lines-in-file>,
  "Skipped": 0,
  "AltMessage": "",
  "IsImportSuccessful": true
}
```

If "Skipped" is greater than zero, it means some lines have not been processed, because BX considers them irrelevant (no legal obligations to report the information to BX). When records are skipped, the SkippedRecords array is filled with information regarding the reason and record identification.

16. Response in case of errors

In case of errors in processing, the response is expected to have the following format:

```
{
  "Errors": [
    {
      "LineNr": <erroneous-line-no>,
      "ColumnNr": <column-where-the-error-was-found>,
      "ErrorCode": <numerical-value>,
      "ErrorMsg": "<the description of the error (free text)>"
    },
    ...
  ],
  "SkippedRecords": [
    {
      "SkipReason": "<the reason the records was skipped>",
      "RecordIdentifier": "<record that was skipped>"
    },
    ...
  ],
  "Imported": 0,
  "Skipped": 0,
  "AltMessage": "<general comment on the result of the file processing (free text)>",
  "IsImportSuccessful": false
}
```

Each erroneous line has its corresponding entry in the "Errors" array. Body lines are numbered starting with 0. Column numbers are also 0 based.

17. Error Messages

The BX reporting tool uses the following error messages for trade reporting. There are no error codes.

Possible error messages

The possible error messages are reported besides the line number and column number of the problem. The {X} is the value that isn't accepted from the send file.

- Expected '1' (Bid) or '2' (Ask) instead of '{X}'
- Expected 'Kunde' (Customer) or 'Eigen' (Own book) instead of '{X}'
- Expected a valid ISIN code instead of '{X}'
- Could not find an instrument for this ISIN: {X}
- Expected an empty currency code or one of 3 characters instead of '{X}'
- No currency found for currency code '{X}'
- Expected an empty MIC code or one of 4 characters instead of '{X}' "ReportImportBerneXColumns.Exchange"
- Expected a valid size instead of '{X}' "ReportImportBerneXColumns.Size"
- Expected a size larger than 0 instead of '{X}' "ReportImportBerneXColumns.Size"
- Expected a valid price instead of '{X}'
- Expected a price larger than 0 instead of '{X}'
- Expected a valid price instead of '{X}'
- Expected a valid trade datetime formatted as 'YYYYMMDD-hh:mm:ss' instead of '{X}'
- Expected either 'Off-Trade' or 'Transaktion' instead of '{X}' "ReportImportBerneXColumns.TransactionType"
- Expected {X} columns, but found {X}
- Expected an empty currency code or one of 3 characters instead of '{X}'
- No currency found for currency code '{X}'

Please note: In case of invalid / unknown instrument ISINs the import is not halted. Unknown ISINs are ignored (skipped records) and will not be processed, but the rest of the file will be imported to the system.

V. Operations

18. Business Continuity Management

- the reporting tool is running on two datacenters
- automated switch from one datacenter to the other if required
- no need to change the URL

In case of service interruptions, BX informs its reporting participants by email. Reporting must be completed as soon as the systems are up and running again.

19. Operating Hours & Support

The reporting office of BX provides its service on 24/7 basis.

Support is available on business days from 8:00 am through to 5:45 pm CET.

In case of any operational or technical issues with the reporting tool application in either the test or production environment please contact BX Reporting Office customer support:

Email: meldestelle@bxswiss.com or
reportingoffice-ch@seturion.com

Phone: +41 31 329 40 46