



SECTRAS

SECTRAS STR COMPONENT

SSECURITIES TRADING REPORTING (STR) IN ACCORDANCE
WITH § 9 OF THE (GERMAN) SECURITIES TRADING ACT

New:

- **Data transfer via the registration and publication platform of the Federal Financial Supervisory Authority**
- **MiFID-conform**

In accordance with § 9 of the Securities Trading Act (WpHG), financial institutions belonging to the circle of reporting institutions as defined by law are under obligation to report certain business activities with securities to the Federal Financial Supervisory Authority (BaFin).

Implemented with state-of-the-art design and technology, the SECTRAS-STR component is made available to reporting institutions, agents etc., thus enabling them to report business data from the stock exchange on a daily basis and fully automatically to the respective recipient without the user's interference.

Alongside the classical method of data transfer via TRICE® of the German group Deutsche Börse AG, the new version of STR component also offers the option of direct data transfer to the BaFin via the registration and publication platform of the supervisory authority.



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SCOPE OF FUNCTIONS

• STR-General Input Interface

The user supplies the required business data via well documented open interfaces. The following formats are supported:

- CSV
- XML
- Verification whether the business activity is reportable
- Protocol of exemption(s) from reporting duty
- Generation of reportable records
- The generation and transfer of declared records can be made repeatedly during the day at any time. Processing can be initiated by:
 - A workflow engine
 - Classical batch processing at the end of the day
 - Online (by explicit user instruction)
- Alongside one's own records,
 - Interim commission reports as well as
 - Notifications by third parties (reporting party does not enter) can be generated.
- Extensive plausibility checks and marking of the reportable record as "internal error" if necessary.
- Data conversion to the format of the selected transfer method (S.W.I.F.T. MT510 or ASCII flat file)
- Automatic acceptance of receipt confirmations
- Automatic acceptance of protocol files (S.W.I.F.T. MT596 for data transfer via TRICE®)
- Automatic marking of a reportable record as "external error"
- Any actions performed regarding reportable data records will be recorded (revision warranty).
- If a business transaction is reported several times, the STR component is able to discern whether an automated cancellation of an entry or an updated entry should be generated.

SCREEN DIALOGUES

The application is furnished with a modern GUI to ensure that working with the STR component is efficient and user-friendly. The ergonomic design of the screens enables the user to navigate purposefully and to easily find the required information:

- Extensive selection criteria
 - Time limitations
 - Reporting classification
 - Selected financial centres
- Reportable record details including status information
- Details of securities
- Additional specialist and technical information
- Various response options following an enquiry of the supervisory authority
- In accordance with WpHBMV, one registration form must be completed for each reportable record.

| Mandant | Wertpapier-Klasse | Status | Währung | Exkurs-Tabelle | Zusatzinformationen |
|---------|-------------------|--------|---------|----------------|---------------------|
| 1 | 004 | CP | EUR | 1 | |

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