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TRS Test Specification
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Transaction Report System (TRS) Interface Test specification

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1 INTRODUCTION

1.1 Purpose and scope

1. This document aims to specify the tests to be performed on the exchange interface of the Transaction Reporting System (TRS) by Reporting firms (RF) and Technical Reporting Firms (TRF).
2. This document details the type of tests to be performed and methodology
3. This documents details the type of test reports to be done.
4. This document aims to verify the technical implementation of Article 12 (Article 25.5 in directive 2004 /39/EG)
5. These tests shall be performed in order to receive technical approval to report transactions to the TRS.

1.2 Prerequisites

- The reporting firm has defined and implemented a decryption module according to TRS requirements.
- The reporting firm has implemented the latest version of transaction report format SE (TRS Report Format for instrument, TRS Report Format for reporting party, TRS Report Format for venues, TRS Requirement specification).
- The reporting firm must have a valid BIC code (11 characters) and IP address (or IP range) in order to obtain a FTP- or HTTPs account at Finansinspektionen (FI).
- The reporting firm has configured its software according to the TRS requirement specification.
- The reporting firm has in place a testing environment, consisting of at least one computer with access to the Internet.
- The reporting firm has configured its firewalls and communication equipments to open the ports and protocols it will use, as specified TRS requirement specification.
- The reporting firm has a contact person to provide to Finansinspektionen (FI) in order to do the testing phase. This contact can (or works with someone who can) configure firewalls and communication equipments within the authority.
- The reporting firm has implemented a trigger in there system for all error codes defined in the TRS requirements document.



- The reporting firm has received test certificates generated by Finansinspektionen

1.3 Reference documents

This document should be read in conjunction with other documents, namely:

1. TRS Requirement specification
2. Transaction report format
 - i. TRS Report Format for venues
 - ii. TRS Report Format for reporting party
 - iii. TRS Report Format for instrument
3. XML Schemas

(All the documents can be located at www.fi.se Transaktionsrapportering)

1.4 Intended audience

The intended audience of this document is people responsible for testing at reporting firms (RF) and technical reporting firms (TRF) project team and people involved in the national transaction reporting projects.

1.5 Testing phases

To perform the TRS testing towards Finansinspektionen (FI), you should follow the following steps:

1. Ensure that you have completed the prerequisites
2. Fill in the TRS registration form and send it to markets@fi.se. The form contains those information:
 - a. Reporting firm
 - b. Technical Reporting firm
 - c. Contact information
 - d. Technical Information
3. FI will send credentials (username/password) and open the firewall of the TRS for your IP address.
4. After completed test, send the report to markets@fi.se.

Each reporting firm, prior to start testing should inform FI about the test period they intend to use, and provide the necessary information for account creation, using for that purpose the document (TRS Registration information).

After conclusion of the tests a report should be sent to FI, identifying any errors occurred during the test phase.



2 Test process

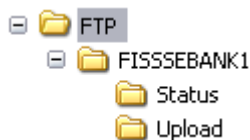
Only the test environment should be used for the testing phase. The production environment will be used only for the acceptance test before the Go-Live.

To facilitate test report collection from the reporting firms, the test report data sheet included as system test report should be used.

2.1 Testing environment

The testing environment is a duplicate of the production. It's the same software version (with respect to transition of a new software release) that will support the transaction reporting mechanism. Only the IP address/username/password is changed between the two environments.

The tree structure for each authority should look like:



Initially each reporting firm should ask FI for an account. To ensure that it is a genuine authority that connects to the FTP/HTTPS, firms declare a specific IP address (or at least a range of IP addresses) and are able to connect to the TRS only using these addresses. FI gives the reporting firm a username/password for testing.

When the reporting firms has successfully finished the testing phases of its interface and is able to work on the production environment, FI gives it other credentials for production environment. The acceptance test will be performed in production environment.



2.2 Test reports

The body of the test report data sheet will contain each item to be tested according to the test specifications, followed by the result of its testing:

Test item No. xxx	
Not tested	
Test Passed	
Test failed	
Encrypted	
<i>Error description :</i>	

Test reports should be sent by each firm, no longer than 3 working days after completion of each test.

2.3 Testing the TRS

To perform the system test phase of Exchange interface testing, you should follow the following steps:

1. Ensure that you have completed the prerequisites.
2. Fill in the registration form (TRS Registration information) and send it to markets@fi.se.
3. During a 2-3 weeks period, you should execute the tests defined in chapter 3 while executing, you should fill in the report in the system test report and eventually correct any error if needed.
4. After completed all test, send the report to markets@fi.se.

Each authority should perform the type of tests described below:

1. Decryption tests
2. XML Validation tests
3. Content validation tests
4. Generation and sending/receiving of files

The first three types of tests are intended to evaluate the correctness of the reception process for each reporting firm interface.

The decryption tests should validate the correct functioning of the decompression and decryption process after the reception of a file. These tests should also validate the error situations that are described in TRS requirement specification (error codes and explanations).



The XML validation tests should validate the reception of a file according to the XML schema defined and also validate the error situations that are described in TRS requirement specification (error codes and explanations).

The content validation tests should validate the error situations that are described in TRS requirement specification (error codes and explanations).

The generation and sending/receiving of files tests is intended to evaluate the correct functioning of each reporting firm exchange interface system, when acting as a sending/receiving firm.

The tests cases should be performed in the order provided below

For the purpose of testing it is assumed that reporting firms use the sample files listed. There are 4 types of sample files:

1. Transaction files (TR_).
2. Feedback files (FB_)
3. Instruments (IN_)
4. Reconciliation files (RC_)

Some sample files have been created to test the systems file reception functionalities and error management.

Each reporting firm should check the reported file generated by its system and verify that it has the same format as the example files provided.

The reported file generated by each reporting firm must respect the naming convention:

- Authority key: In sample files, the BIC code = "FISSEBANKX". In real files it should be the code of the sending reporting firm.
- File name: Should start with file type eg (TR_, IN_, RC_) followed by the BIC code (11 characters), reporting date and sequence number.
(TR_FISSEBANKX_20070709_0001) Reporting firm
(IN_FISSEBORSX_20070709_0001) Reporting Venue
(RC_FISSEBORSX_20070709_0001) Reporting Venue



3 System test cases (TR_)

3.1 Password management test

Identification	
TR_1.1	HTTP Connection – Password test
Prerequisites	
- Received HTTP account information from Finansinspektionen	
Scenario	
<ul style="list-style-type: none">• Connect to the HTTP using valid login/password	
Expected results	
→ login OK – You can see TRS start page	

Identification	
TR_1.2	HTTP Connection – Password error test
Prerequisites	
Scenario	
<ul style="list-style-type: none">• Connect to the HTTP using invalid login/password	
Expected results	
→ Not possible to login	



Identification	
TR_1.3	FTP Connection – Password test
Prerequisites	
Received FTP account information from Finansinspektionen	
Scenario	
<ul style="list-style-type: none">• Connect to the FTP using valid login and valid password	
Expected results	
→ Possible to connect, possible to view status/upload folder located under the home folder	

Identification	
TR_1.4	FTP Connection – Password error test
Prerequisites	
-	
Scenario	
<ul style="list-style-type: none">• Connect to the FTP using <u>invalid</u> login and password	
Expected results	
→ Not possible to connect	



3.2 Upload and download process test

Identification	
TR_2.1	Upload/download process – Transactions via FTP
Prerequisites	
Received FTP account information from Finansinspektionen Transaction file with one or several transactions The file match the correct naming convention	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Drop a transaction file in the "Upload" folder• Download feedback file from "Status" folder	
Expected results	
→ Possible to upload a file → The uploaded file will disappear within seconds from the uploaded folder → Feedback file will appear in the status folder	

Identification	
TR_2.2	Upload/download process – Cancellation of transaction via FTP
Prerequisites	
Received FTP account information from Finansinspektionen Transaction file with one or several cancellations The file match the correct naming convention	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Drop a transaction file in the "upload" folder• Download feedback file from "Status" folder	
Expected results	
→ Possible to upload a file → The uploaded file will disappear within seconds from the uploaded folder → Feedback file will appear in the status folder	



Identification	
TR_2.3	Upload/download process – Transaction via HTTP
Prerequisites	
Received HTTPs account information from Finansinspektionen Transaction file with one or several transactions The file match the correct naming convention	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the HTTPs valid login and password• Upload a transaction file with one or several transactions	
Expected results	
→ Possible to upload a file → The uploaded file will disappear within seconds from the uploaded folder → Feedback file will appear in the status folder	

Identification	
TR_2.4	Upload/download process – Cancellations of transaction via HTTP
Prerequisites	
Received HTTP account information from Finansinspektionen Transaction file with one or several cancellation The file match the correct naming convention	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the HTTP valid login and password• Upload a transaction file with one or several cancellation	
Expected results	
→ Possible to upload a file → The uploaded file will disappear within seconds from the uploaded folder → Feedback file will appear in the status folder	



3.3 Web account test

Identification	
TR_3.1	Web account – uploaded files /Status
Prerequisites	
Received HTTP account information from Finansinspektionen	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the HTTP valid login and password• View "Reporting firm Status"• View "Latest uploaded files "• Click on one of the "ACC" files• Save it locally• Click on logout	
Expected results	
<p>→ Possible to view the uploaded files from earlier test cases</p> <p>→ Possible to view "reporting firm status" for the last three banking days</p> <p>→ Possible to download a status file locally</p> <p>→ Possible to logout from the web</p>	

Identification	
TR_3.2	Web account – News
Prerequisites	
Received HTTP account information from Finansinspektionen	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the HTTP valid login and password• Under TRS News and information, click on "all news"	
Expected results	
<p>→ Possible to view "news"</p>	



Identification	
TR_3.3	Web account – History
Prerequisites	
Received HTTP account information from Finansinspektionen	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the HTTP valid login and password• Click on “history”• Download one or several feedback files locally (display mode list view)• Change display mode to “Tree view”• Expand the already uploaded transaction files and download one or several feedback files	
Expected results	
<p>→ Possible to view in two different display modes (tree and list) → Possible to download one or several feedback files</p>	

Identification	
TR_3.4	Web account – My account
Prerequisites	
Received Https account information from Finansinspektionen	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the HTTP valid login and password• Click on “My Account”• Update the fields under contact person by click on the button Edit	
Expected results	
<p>→ Possible to update contact person information</p>	



Identification	
TR_3.5	Web account – FAQ
Prerequisites	
Received Https account information from Finansinspektionen	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the HTTP valid login and password• Click on "FAQ"	
Expected results	
→ Possible to view FAQ information	

Identification	
TR_3.6	Web account – Single transaction registration
Prerequisites	
Received Https account information from Finansinspektionen	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the HTTP valid login and password• Click on "register single transaction"• Register a single transaction	
Expected results	
→ Possible to register single transaction	



Identification	
TR_3.7	Web account – Single transaction registration - DTI
Prerequisites	
Received Https account information from Finansinspektionen	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the HTTP valid login and password• Register a transaction with a transaction id that has already been submitted to TRS	
Expected results	
→ Not possible to register single transaction, error code DTI is generated	

Identification	
TR_3.8	Web account – Single transaction registration - cancellation
Prerequisites	
Received HTTP account information from Finansinspektionen	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the HTTP valid login and password• Register a single transaction• Cancel the same transaction	
Expected results	
→ It's possible to cancel transaction manually	



3.4 Feedback codes test (Accepted or Accepted with Errors)

Identification	
TR_4.1	Feedback codes – File status "ACC", Code "ok"
Prerequisites	
Received FTP account information from Finansinspektionen Reporting firm has generated a correct transaction file. The file match the correct naming convention	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will automatic analyze the file and a feedback file is generated and placed in the "status" folder.	
Expected results	
→ TRS accepts the file – Filestatus "ACC", Code "OK"	

Identification	
TR_4.2	Feedback codes – Invalid Counter Party Code
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with a transaction that has an Invalid Counter Party Code.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder.	
Expected results	
→ TRS accepts with errors – Filestatus "AWE", Code "DVE", Reason "ICPC"	



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Identification	
TR_4.3	Feedback codes – Invalid ISIN Code
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with a transaction that has an Invalid ISIN Code. TR_FISSEBANK1_20091202_9053.xml	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – Filestatus "AWE", Code "DVE", Reason "IISIN"	

Identification	
TR_4.4	Feedback codes – Invalid Trading Date
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with a transaction that has an Invalid Trading Date. TR_FISSEBANK1_20091202_9054.xml	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	

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→ TRS accepts with errors – Filestatus “AWE”, Code “DVE”, Reason “ITD”



Identification	
TR_4.5	Feedback codes – Duplicate Transaction Identifier
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with a transaction that has an Duplicate Transaction Identifier.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – Filestatus "AWE", Code "DVE", Reason "DTI"	

Identification	
TR_4.6	Feedback codes – Invalid Venue Identification
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with a transaction that has an Invalid Venue Identification.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – Filestatus "AWE", Code "DVE", Reason "IVI"	



Identification	
TR_4.7	Feedback codes – Missing Transaction Indicator
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with a cancellation transaction that's referring to a transaction that does not exist either in the file or in the TRS database.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – File status "AWE", Code "DVE", Reason "MTI"	

Identification	
TR_4.8	Feedback codes – Invalid Client code
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with a transaction that has an Invalid Customer / Client. TR_FISSEBANK1_20091202_9058.xml	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors– File status "AWE", Code "DVE", Reason "ICC"	



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Identification	
TR_4.9	Feedback codes – Client information missing
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with a transaction that is missing Customer / Client information.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – File status "AWE", Code "DVE", Reason "CIM"	

Identification	
TR_4.10	Feedback codes – (ReferringTransactionAlreadyCancelled) The referring transaction is already cancelled in the database
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has sent cancellation for one or several transaction Cancellation file must include cancellation record that has already been cancelled	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the cancellation file in the "upload" folder.• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – File status "AWE", Code "DVE", Reason "RTAC"	



3.5 Feedback codes test (Rejected)

Identification	
TR_5.1	Feedback codes – Invalid Xml Format
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with that has an Invalid Xml Format. TR_FISSSEBANK1_20091202_9052.xml	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "IXF"	

Identification	
TR_5.2	Feedback codes – Invalid File Name Format
Prerequisites	
Received FTP account information from Finansinspektionen Reporting firm has generated a transaction file with that has an Invalid File Name Format TR_FISSSEBANK1_20091202_62.xml	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	



→ TRS rejects the file – File status “REJ”, Code “IFNF”

Identification	
TR_5.3	Feedback codes – File Extension Error
Prerequisites	
Received FTP account information from Finansinspektionen Reporting firm has generated a transaction file with that has an invalid file extension (extension not supported by TRS)	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the “upload” folder• TRS will analyze the file and a feedback file will be generated and placed in the “status” folder	
Expected results	
→ TRS rejects the file – File status “REJ”, Code “FEE”	

Identification	
TR_5.4	Feedback codes – Zip Decompression Error
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with that has an Zip Decompression Error	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the “upload” folder• TRS will analyze the file and a feedback file will be generated and placed in the “status” folder	
Expected results	
→ TRS rejects the file – File status “REJ”, Code “ZDCOE”	



Identification	
TR_5.5	Feedback codes – Schema Not Found
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with that has an invalid schema reference	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "SNF"	

Identification	
TR_5.6	Feedback codes – Xml Parse Error
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with that has an Xml Parse Error TR_FISSEBANK1_20091202_9066.xml	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	



→ TRS rejects the file – File status “REJ”, Code “XPE”

Identification	
TR_5.7	Feedback codes – Invalid Reporting Firm
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with that has an Invalid Reporting Firm TR_FISSSEBANK1_20091202_9067.xml	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the “upload” folder• TRS will analyze the file and a feedback file will be generated and placed in the “status” folder	
Expected results	
→ TRS rejects the file – File status “REJ”, Code “IRF”	

Identification	
TR_5.8	Feedback codes – Invalid Technical Reporting Firm
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with that has an Invalid Technical Reporting Firm TR_FISSSEBANK1_20091202_9068.xml	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the “upload” folder• TRS will analyze the file and a feedback file will be generated and placed in the “status” folder	



Expected results

→ TRS rejects the file – File status "REJ", Code "ITF"

Identification

TR_5.9

Feedback codes –
Internal Duplicate Transaction Identifier

Prerequisites

Received FTP account information from Finansinspektionen
The file match the correct naming convention
Reporting firm has generated a transaction file with two transactions with the same transaction id

TR_FISSEBANK1_20091202_9069.xml

Scenario

- Connect to TRS using the FTP valid login and password
- Upload and place the transaction file in the "upload" folder
- TRS will analyze the file and a feedback file will be generated and placed in the "status" folder

Expected results

→ TRS rejects the file – File status "REJ", Code "IDTI"

Identification

TR_5.10

Feedback codes –
Decryption Error

Prerequisites

Received FTP account information from Finansinspektionen
The file match the correct naming convention
Reporting firm has generated a transaction file with Decryption Error

Scenario

- Connect to TRS using the FTP valid login and password
- Upload and place the transaction file in the "upload" folder
- TRS will analyze the file and a feedback file will be generated and



placed in the "status" folder
Expected results
→ TRS rejects the file – File status "REJ", Code "DCRE"

Identification	
TR_5.11	Feedback codes – Signer Verification Error
Prerequisites	
<p>Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with an invalid signature</p>	
Scenario	
<ul style="list-style-type: none"> • Connect to TRS using the FTP valid login and password • Upload and place the transaction file in the "upload" folder • TRS will analyze the file and a feedback file will be generated and placed in the "status" folder 	
Expected results	
→ TRS rejects the file – File status "REJ", Code "SVE"	

Identification	
TR_5.12	Feedback codes – Uploaded File Already Submitted
Prerequisites	
<p>Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm uploads a transaction file that already been uploaded (and accepted by TRS)</p>	
Scenario	
<ul style="list-style-type: none"> • Connect to TRS using the FTP valid login and password • Upload and place the transaction file in the "upload" folder • TRS will analyze the file and a feedback file will be generated and placed in the "status" folder 	



Expected results
→ TRS rejects the file – File status "REJ", Code "UFAS" → File is accepted by your system

Identification	
TR_5.13	Feedback codes – General system Error
Prerequisites	
The file match the correct naming convention Use the example file "GSE_FB_TR_ ..."	
Scenario	
<ul style="list-style-type: none">• Simulated feedback file with error code GSE file generated from TRS• Load the file in to your system	
Expected results	
→ File is accepted by your system	

Identification	
TR_5.14	Feedback codes – Uploaded File Size Error
Prerequisites	
Received HTTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a large transaction file (> 300kb zip)	
Scenario	



- Connect to TRS using the HTTP valid login and password
- Manually upload the transaction file

Expected results

→ TRS rejects the file – File status "REJ", Code "UFSE"

Identification

TR_5.15

Feedback codes –
Schema Not Valid

Prerequisites

Received FTP account information from Finansinspektionen
The file match the correct naming convention
Reporting firm has generated a transaction file with Schema Not Valid

Scenario

- Connect to TRS using the FTP valid login and password
- Upload and place the transaction file in the "upload" folder
- TRS will analyze the file and a feedback file will be generated and placed in the "status" folder

Expected results

→ TRS rejects the file – File status "REJ", Code "SNV"



4 System test cases (RC_)

4.1 Upload and download process test

Identification	
RC_1.1	Upload/download process
Prerequisites	
Received FTP account information from Finansinspektionen Reconciliation file with one or several transactions The file match the correct naming convention	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Drop a Reconciliation file in the "upload" folder• Download feedback file from "Status" folder	
Expected results	
→ Possible to upload a file → The uploaded file will disappear within seconds from the uploaded folder → Feedback file will appear in the status folder	

4.2 Feedback codes (ACC/AWE)

Identification	
RC_2.1	Feedback codes – File status "ACC", Code "ok"
Prerequisites	
Received FTP account information from Finansinspektionen Reporting firm has generated a correct Reconciliation file. The file match the correct naming convention	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will automatic analyze the file and a feedback file is generated and placed in the "status" folder.	
Expected results	
→ TRS accepts the file – File status "ACC", Code "OK"	



Identification	
RC_2.2	Feedback codes – Invalid Counter Party Code
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with a transaction that has an Invalid Counter Party Code.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder.	
Expected results	
→ TRS accepts with errors – Filestatus "AWE", Code "DVE", Reason "ICPC"	

Identification	
RC_2.3	Feedback codes – Invalid ISIN Code
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with a transaction that has an Invalid ISIN Code.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – Filestatus "AWE", Code "DVE", Reason "IISIN"	



Identification	
RC_2.4	Feedback codes – Invalid Trading Date
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with a transaction that has an Invalid Trading Date.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – Filestatus "AWE", Code "DVE", Reason "ITD"	

Identification	
RC_2.5	Feedback codes – Duplicate Transaction Identifier
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with a transaction that has a Duplicate Transaction Identifier.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – Filestatus "AWE", Code "DVE", Reason "DTI"	



Identification	
RC_2.6	Feedback codes – Missing transaction Indicator
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with a transaction that has an Missing transaction Indicator.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – Filestatus "AWE", Code "DVE", Reason "MTI"	

Identification	
RC_2.7	Feedback codes – Invalid Price Notation
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with a transaction that has an Missing transaction Indicator.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors– Filestatus "AWE", Code "DVE", Reason "IPN"	



Identification	
RC_2.8	Feedback codes – (ReferringTransactionAlreadyCancelled) The referring transaction is already cancelled in the database
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has sent cancellation for one or several transaction Cancellation file must include cancellation record that has already been cancelled	
Scenario	
<ul style="list-style-type: none"> • Connect to TRS using the FTP valid login and password • Upload and place the cancellation file in the "upload" folder. • TRS will analyze the file and a feedback file will be generated and placed in the "status" folder 	
Expected results	
→ TRS accepts with errors – File status "AWE", Code "DVE", Reason "RTAC"	

4.3 Feedback codes (REJ)

Identification	
RC_3.1	Feedback codes – Invalid Xml Format
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with that has an Invalid Xml Format.	
Scenario	
<ul style="list-style-type: none"> • Connect to TRS using the FTP valid login and password • Upload and place the Reconciliation file in the "upload" folder • TRS will analyze the file and a feedback file will be generated and placed in the "status" folder 	
Expected results	
→ TRS rejects the file – File status "REJ", Code "IXF"	



Identification	
RC_3.2	Feedback codes – Invalid File Name Format
Prerequisites	
Received FTP account information from Finansinspektionen Reporting firm has generated a Reconciliation file with that has an Invalid File Name Format	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "IFNF"	

Identification	
RC_3.3	Feedback codes – File Extension Error
Prerequisites	
Received FTP account information from Finansinspektionen Reporting firm has generated a Reconciliation file with that has an File Extension Error	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "FEE"	



Identification	
RC_3.4	Feedback codes – Zip Decompression Error
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with that has an Zip Decompression Error	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "ZDCOE"	

Identification	
RC_3.5	Feedback codes – Schema Not Found
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with that has an Schema Not Found	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	



→ TRS rejects the file – File status "REJ", Code "SNF"

Identification	
RC_3.6	Feedback codes – Xml Parse Error
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with that has an Xml Parse Error	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "XPE"	

Identification	
RC_3.7	Feedback codes – Invalid Reporting Venue
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with that has an Invalid Reporting Venue	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "IRV"	



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Identification	
RC_3.8	Feedback codes – Invalid Technical Reporting Firm
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with that has an Invalid Technical Reporting Firm	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "ITF"	

Identification	
RC_3.9	Feedback codes – Internal Duplicate Transaction Identifier
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with that has an Internal Duplicate Transaction Identifier	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "IDTI"	



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Identification	
RC_3.10	Feedback codes – Decryption Error
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with that has Decryption Error	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "DCRE"	

Identification	
RC_3.11	Feedback codes – Signer Verification Error
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation file with an invalid signature	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "SVE"	



Identification	
RC_3.12	Feedback codes – Uploaded File Already Submitted
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm uploads a Reconciliation file that already been uploaded	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "UFAS"	

Identification	
RC_3.13	Feedback codes – General system Error
Prerequisites	
The file match the correct naming convention Use the example file "GSE_FB_TR_..." (change name FB_RC_)	
Scenario	
<ul style="list-style-type: none">• Simulated feedback file with error code GSE file generated from TRS• Load the file in to your system	
Expected results	
→ File is accepted by your system	



Identification	
RC_3.14	Feedback codes – Schema Not Valid
Prerequisites	
<p>Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Reconciliation transaction file with Schema Not Valid</p>	
Scenario	
<ul style="list-style-type: none"> • Connect to TRS using the FTP valid login and password • Upload and place the transaction file in the "upload" folder • TRS will analyze the file and a feedback file will be generated and placed in the "status" folder 	
Expected results	
<p>→ TRS rejects the file – File status "REJ", Code "SNV"</p>	

5 System test cases (IN_)

5.1 Upload and download process test

Identification	
IN_1.1	Upload/download process
Prerequisites	
<p>Received FTP account information from Finansinspektionen Reconciliation file with one or several transactions The file match the correct naming convention</p>	
Scenario	
<ul style="list-style-type: none"> • Connect to TRS using the FTP valid login and password • Drop a Reconciliation file in the "upload" folder • Download feedback file from "Status" folder 	



Expected results

- Possible to upload a file
- The uploaded file will disappear within seconds from the uploaded folder
- Download the feedback file
- File accepted

5.2 Feedback codes test (Accepted or Accepted with Errors)

Identification	
IN_2.1	Feedback codes – Filestatus "ACC", Code "ok"
Prerequisites	
Received FTP account information from Finansinspektionen Reporting firm has generated a correct Reconciliation file. The file match the correct naming convention	
Scenario	
<ul style="list-style-type: none"> • Connect to TRS using the FTP valid login and password • Upload and place the Instrument file in the "upload" folder • TRS will automatic analyze the file and a feedback file is generated and placed in the "status" folder. 	
Expected results	
→ TRS accepts the file – Filestatus "ACC", Code "OK"	

Identification	
IN_2.2	Feedback codes – Invalid ISIN Code
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated an instrument file containing financial instruments with one or several Invalid ISIN Codes.	
Scenario	
<ul style="list-style-type: none"> • Connect to TRS using the FTP valid login and password 	



- Upload and place the instrument file in the "upload" folder
- TRS will analyze the file and a feedback file will be generated and placed in the "status" folder

Expected results

→ TRS accepts with errors – File status "AWE", Code "DVE", Reason "IISIN"

Identification

IN_2.3

Feedback codes –
Invalid competent authority

Prerequisites

Received FTP account information from Finansinspektionen
The file match the correct naming convention
Reporting firm has generated an instrument file containing Invalid competent authority

Scenario

- Connect to TRS using the FTP valid login and password
- Upload and place the instrument file in the "upload" folder
- TRS will analyze the file and a feedback file will be generated and placed in the "status" folder

Expected results

→ TRS accepts with errors – Filestatus "AWE", Code "DVE", Reason "ICA"

Identification

IN_2.4

Feedback codes –
Invalid instrument identification

Prerequisites

Received FTP account information from Finansinspektionen
The file match the correct naming convention
Reporting firm has generated an instrument file with Invalid instrument identification

Scenario

- Connect to TRS using the FTP valid login and password
- Upload and place the transaction file in the "upload" folder
- TRS will analyze the file and a feedback file will be generated and placed in the "status" folder



Expected results
→ TRS accepts with errors – File status "AWE", Code "DVE", Reason "III"

Identification	
IN_2.5	Feedback codes – Invalid instrument type
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated an instrument file Invalid instrument type	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Reconciliation file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – File status "AWE", Code "DVE", Reason "IIT"	

Identification	
IN_2.6	Feedback codes – Invalid underlying competent authority
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated an instrument file with Invalid underlying competent authority.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	

Titel:
TRS Test Specification
dok typ
Test specification

Skapad:
2009-12-01 14:47:00
Senast ändrad:
2010-10-13 13:24:00
2010-10-13

Författare:
Finansinspektionen
Senast ändrad av:
Finansinspektionen



Expected results

→ TRS accepts with errors – File status "AWE", Code "DVE", Reason "IUCA"



Identification	
IN_2.7	Feedback codes – Invalid underlying ISIN code
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated an instrument file with Invalid underlying ISIN code	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the transaction file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS accepts with errors – File status "AWE", Code "DVE", Reason "IUISIN"	



5.3 Feedback codes (REJ)

Identification	
IN_3.1	Feedback codes – Invalid Xml Format
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a transaction file with that has an Invalid Xml Format.	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "IXF"	

Identification	
IN_3.2	Feedback codes – Invalid File Name Format
Prerequisites	
Received FTP account information from Finansinspektionen Reporting firm has generated a Instrument file with that has an Invalid File Name Format	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "IFNF"	



Identification	
IN_3.3	Feedback codes – File Extension Error
Prerequisites	
Received FTP account information from Finansinspektionen Reporting firm has generated a Instrument file with that has an File Extension Error	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "FEE"	

Identification	
IN_3.4	Feedback codes – Zip Decompression Error
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Instrument file with that has an Zip Decompression Error	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "ZDCOE"	



Identification	
IN_3.5	Feedback codes – Schema Not Found
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Instrument file that has an Schema Not Found	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "SNF"	

Identification	
IN_3.6	Feedback codes – Xml Parse Error
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Instrument file with an Xml Parse Error	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "XPE"	



Identification	
IN_3.7	Feedback codes – Invalid Reporting Firm
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Instrument file with an Invalid Reporting Firm	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "IRF"	

Identification	
IN_3.8	Feedback codes – Invalid Technical Reporting Firm
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Instrument file with an Invalid Technical Reporting Firm	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "ITF"	



Identification	
IN_3.9	Feedback codes – Decryption Error
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Instrument file with an Decryption Error	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "DCRE"	

Identification	
IN_3.10	Feedback codes – Signer Verification Error
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm has generated a Instrument file with an invalid signature	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "SVE"	



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Identification	
IN_3.11	Feedback codes – Uploaded File Already Submitted
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm uploads a Instrument file that have already been uploaded	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "UFAS"	

Identification	
IN_3.12	Feedback codes – General system Error
Prerequisites	
The file match the correct naming convention Use the example file "GSE_FB_TR_ ..." (change name FB_IN_)	
Scenario	
<ul style="list-style-type: none">• Simulated feedback file with error code GSE file generated from TRS• Load the file in to your system	
Expected results	
→ File is accepted by your system	



Identification	
IN_3.13	Feedback codes – Schema not valid
Prerequisites	
Received FTP account information from Finansinspektionen The file match the correct naming convention Reporting firm uploads a Instrument file with a schema not valid	
Scenario	
<ul style="list-style-type: none">• Connect to TRS using the FTP valid login and password• Upload and place the Instrument file in the "upload" folder• TRS will analyze the file and a feedback file will be generated and placed in the "status" folder	
Expected results	
→ TRS rejects the file – File status "REJ", Code "SNV"	



6 Acceptance Test

- Each reporting firm have successfully completed the system test phase, should take part of the acceptance test.
- The acceptance test should be performed no later then two weeks prior the Go-Live date.
- The acceptance test consists in a simulation of a normal trading day and should be performed using the FI TRS Production environment.
- The tests should be performed using real data, if possible. In the event of not being able to use real data, the authority should generate test data based on real data, by manipulating one or several fields.