

FWW DataHub

# MiFID-II-v3.1-Import-Format:CSV

## Description (EMT v3.1)

### Document Revision History

Version	Date	Editor	Remarks
1.0	2021-03-10	uh@fww.de	Initial public release for EMT v3.1

## Overview

FWW DataHub is a technical platform for the exchange of MiFID II related data of your funds. To enable asset managers to reliably and smoothly relay the information needed by fund distributors, FWW defined a specific implementation of a data file containing the values of the European MiFID Template (EMT).

This document describes the technical details of a **CSV file format** (Comma-Separated Values text file) on the file level. The column definitions are **based on the EMT v3.1** ("20210129 - FinDatEx - EMT V3.1 final.xlsx"<sup>1</sup>) and are focused on **investment funds**.

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<sup>1</sup> [https://findatex.eu/mediaitem/690679db-03ba-4bf6-8a68-9c9f181d33b8/20210129\\_FinDatEx\\_EMT\\_3\\_1\\_final.xlsx](https://findatex.eu/mediaitem/690679db-03ba-4bf6-8a68-9c9f181d33b8/20210129_FinDatEx_EMT_3_1_final.xlsx)

## Important Notes and Changes From EMT v3.0

EMT v3.1 was created to enable distributors and manufacturers to exchange ESG-related data needed to comply with the MiFID-II ESG / SFDR Level 1 regulatory requirements. The SFDR requires all fund managers in the EU to disclose their ESG strategy, with more detailed requirements or funds that are promoted as having ESG characteristics or sustainability goals.

⇒ The obvious changes from EMT version 3.0 to 3.1 are modifications to the existing EMT fields

- ❖ "00001\_EMT\_Version"
- ❖ "05105\_Intended\_Compatible\_With\_Clients\_Having\_Sustainability\_Preferences"

and the addition of the four new EMT fields:

- ❖ "09000\_ESG\_Category\_For\_German\_Market"
- ❖ "09010\_ESG\_Focus"
- ❖ "09020\_ESG\_Label\_Or\_Standard"
- ❖ "10020\_AMF\_Doctrine"

Alle other EMT fields are defined identically as in EMT v3.0.

⇒ It is now an official recommendation to use the CSV file format with the Vertical Bar / Pipe character (" | ") as value separator.

⚠ If you decide to use semicolon instead, make sure to enclose contents of "09020\_ESG\_Label\_Or\_Standard" and other fields that may contain a semicolon in Text Qualifiers or uses proper Escaping. See the "File Format" section below.

⇒ For the field "09020\_ESG\_Label\_Or\_Standard" you may use only letters from a FinDatEx defined code list. See below.

⇒ Remarks about manual matching or a **delay until 2022** are **not relevant for FWW DataHub**. EMT v3.1 data is accepted for upload and provided to the German market starting March 10, 2021.

## File Format

**"CSV"**: Plain-text file containing one line of delimiter-separated values per product

**Character Encoding**: UTF-8 (recommended), ISO/IEC 8859-1 Latin1 or Windows-CP1252

**Byte Order Mark (BOM)**: accepted, but not recommended

**Separator**: one of the following characters, no mixing within one file:

- ❖ Vertical Bar / Pipe / "|" (0x7C) (FinDatEx recommendation)
- ❖ Tab (0x09),
- ❖ Semicolon / ";" (discouraged since EMT v3.1, because of 09020),
- ❖ Comma / "," (discouraged)

**Escaping**: To represent a literal separator character in a value not enclosed in Text Qualifiers, the character **must** be preceded by a backslash (0x5C). A literal backslash must be represented by two backslashes (\\).

**Text Qualifiers**: optional. Any value may be wrapped in double-quotes (").

To represent a literal double-quotes character (") inside of Text Qualifiers, it may be either preceded by a backslash (\") or doubled (").

**Line Endings**: every line must be terminated with CR+LF (0x0A, 0x0D) or LF (0x0D). Line breaks are not allowed within headers or values, even if enclosed in Text Qualifiers.

**Column Headers**: The first line **must** contain column headers.

⚠ The **first five characters must be the numeric ID** of the column as per EMT definition (also see 'Data Fields' below). We recommend using the full field names of the EMT for better readability, e.g. "00040\_Financial\_Instrument\_Currency". Any other string starting with "00040" (or "00040" by itself) is acceptable as well. Please note you must include the leading zeroes.

**Every line** of your file **must** always **contain** at least **98 fields**. Extra columns not defined in this document are ignored, but will produce warnings.

Fields may be left **empty only if explicitly stated**, please see the "Mandatory"-Column in the EMT specification. Some fields may be mandatory depending on the contents of other fields. To represent NULL values ("no value"), leave the field empty - do **not** use "n/a", "NULL", "-", "99.99" etc.

**File Name:** With FWW DataHub, you are free to name your files the way you want to, any reasonable character sequence (see **AlphaNumeric**) is acceptable. As the original file name will be logged, you may want to use unique names to be able to identify a single upload and reference your own data later. We recommend using ".txt" or ".tsv" (when using Tab) or ".csv" as file name extension.

FinDatEx proposes a file naming convention in its EMT v3.1 specification: The file name may start in "EMT\_{version}\_{date}", with {version} being the version number also provided in the field "00001\_EMT\_Version" and {date} being the date part from the field "00005\_File\_Generation\_Date\_And\_Time". Example: EMT\_V31\_20210131...

## Field Type Definitions

The following syntax definitions describe common field types.

```
Yes      = "Y" | "y" | "YES" | "yes" | "Yes" | "1" ;  
No       = "N" | "n" | "NO" | "no" | "No" | "0" ;  
Neutral = "Neutral" | "neutral" | "NEUTRAL" | "-" ;
```

```
YesNoNeutral = Yes | No | Neutral ;
```

```
AlphaNumeric = 255 * [ ? Printable Characters ? ] ; up to 255 printable  
characters
```

*Printable Characters* refers to all visible characters and the space (anything except control characters), that is, to all **Unicode** characters that do not have the *Unicode General\_Category Property* "Other"<sup>2</sup>, short "C" (= Cc | Cf | Cs | Co | Cn), usually expressed as **\P{C}**.

In ASCII, it would refer to the range 0x20–0x7E, and in ISO/IEC 8859-1 (Latin1) to the ranges 0x20–0x7E, 0xA1–0xAC and 0xAE–0xFF.

```
Date = ? YYYY-MM-DD ? ; ISO 8601 extended format date, e.g. "2019-02-27"
```

```
DateTime = ? YYYY-MM-DD hh:mm:ss ? ; ISO 8601 extended format date and time,  
without timezone, e.g. "2021-04-28 15:36:59"
```

```
Digit = "0" | "1" | "2" | "3" | "4" | "5" | "6" | "7" | "8" | "9" ;
```

```
DecimalPercent = [ Digit ] , [ "." | "," ] , Digit , { Digit } ;
```

dot or comma as decimal separator

*DecimalPercent* represents a percentage in decimal form, e.g. "1" = 100%, "0.3" = 30%, "0.01" = 1%

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<sup>2</sup> [http://unicode.org/reports/tr44/#GC\\_Values\\_Table](http://unicode.org/reports/tr44/#GC_Values_Table)

The maximum precision (digits after the decimal point) for *DecimalPercent* is 15. Values will be rounded to 15 decimal places.

**DecimalNumber** = { **Digit** } , [ "." | "," ] , **Digit**, { **Digit** } ;

The maximum precision (digits after the decimal point) for *DecimalNumber* is 15. Values will be rounded to 15 decimal places.

## Data Fields

All field definitions correspond to the fields of the EMT for funds (= Structured Funds or UCITS or Non UCITS, see 00060). Do **not** include Structured Securities in your file.

Your file is expected to contain all 98 fields defined in EMT v3.1, starting with "00001\_EMT\_Version" and ending in "10020\_AMF\_Doctrine".

Please refer to the FinDatEx EMT v3.1 specification for details:

[https://findatex.eu/mediaitem/690679db-03ba-4bf6-8a68-9c9f181d33b8/20210129\\_FinDatEx\\_EMT\\_3\\_1\\_final.xlsx](https://findatex.eu/mediaitem/690679db-03ba-4bf6-8a68-9c9f181d33b8/20210129_FinDatEx_EMT_3_1_final.xlsx)

Some field definitions are split into "Funds" and "Structured Securities". Please only follow the "Funds" related part in these cases.

(A detailed list of all fields and associated data types and rules will be provided here in the next version of this document.)

## Codes for EMT Field 09020 - ESG Labels / Standards

You may provide one or more ESG-related labels or standards that apply to your product in the field 09020\_ESG\_Label\_Or\_Standard. You have to use the defined single-letter-codes (see below) to represent these labels.

To include more than one label, provide a semicolon-separated list, for example.: "C;D;G".

The list of codes is attached as separate sheet in the FinDatEx EMT v3.1 document.  
Here are all defined codes as of 2021-01-19.

A	ICMA Green Bond Principles
B	EU Green Bond Standard
C	EU Ecolabel for Financial Products
D	FNG-Siegel
E	CBI Climate Bonds Standards
F	ICMA Social Bonds Principles
G	LuxFLAG ESG
H	LuxFLAG Climate Finance
I	LuxFLAG Environment
J	Kein Verstoß gegen Atomwaffensperrvertrag
K	ISR
L	Febelfin / Towards Sustainability
M	UZ49 - das österreichische Umweltzeichen
N	Nordic Swan
O	GreenFin Label