

## Reporting OTC transactions

### Requirements for using ZSE web services

The computer used to log onto the web application

- must have a connection to the Internet or be linked to ZSE brokerage network (available only to ZSE members)
- must have one of following web browsers installed: Internet Explorer, Firefox, Chrome, Safari, Opera.

A user account is required for authentication. This account will be provided by ZSE after submitting the Application form for reporting of OTC transactions which is available on [ZSE web site](#).

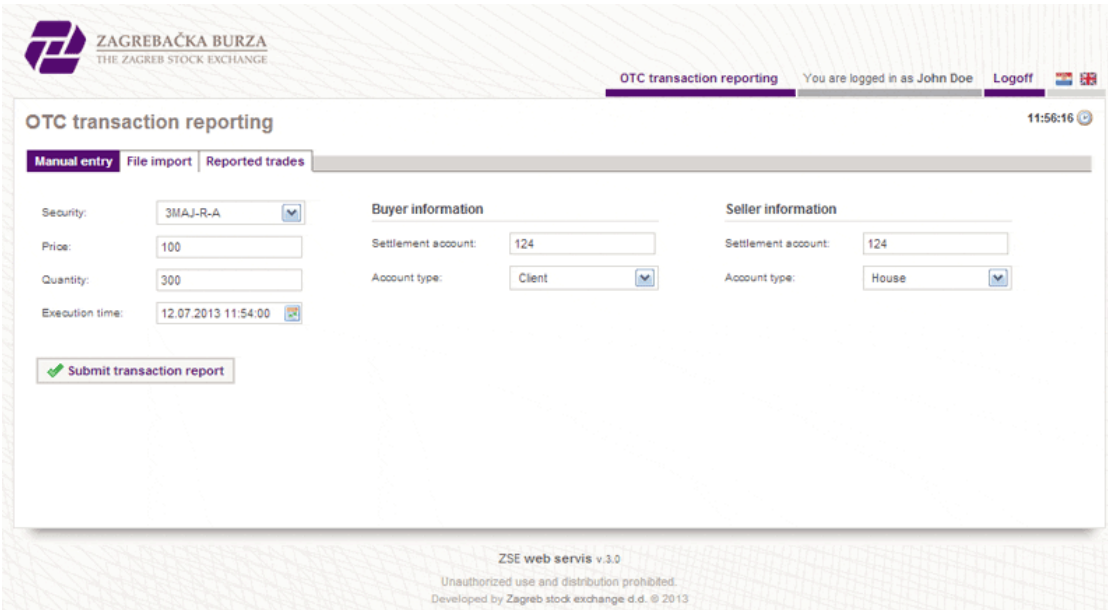
### Accessing the web application

The web application is available at the following address: <https://services.zse.hr/otc>

Enter the username and password which you received for using the OTC web service.

If you're having trouble logging into your account, please contact Technical Support by email [tech-support@zse.hr](mailto:tech-support@zse.hr) or by phone +385 1 4686 839 (Mr. Tomislav Cimerman).

After successful authentication, the OTC reporting form will open:



The screenshot shows the 'OTC transaction reporting' web application interface. At the top, there is a navigation bar with the ZSE logo and the text 'ZAGREBAČKA BURZA THE ZAGREB STOCK EXCHANGE'. The main header includes 'OTC transaction reporting', 'You are logged in as John Doe', and a 'Logoff' button. Below the header, there are three tabs: 'Manual entry' (selected), 'File import', and 'Reported trades'. The 'Manual entry' tab contains a form with the following fields:

- Security:** A dropdown menu with '3MAJ-R-A' selected.
- Price:** A text input field containing '100'.
- Quantity:** A text input field containing '300'.
- Execution time:** A text input field containing '12.07.2013 11:54:00'.
- Buyer information:**
  - Settlement account:** A text input field containing '124'.
  - Account type:** A dropdown menu with 'Client' selected.
- Seller information:**
  - Settlement account:** A text input field containing '124'.
  - Account type:** A dropdown menu with 'House' selected.

At the bottom of the form, there is a green button labeled 'Submit transaction report'. Below the form, there is a footer with the text: 'ZSE web servis v.3.0', 'Unauthorized use and distribution prohibited.', and 'Developed by Zagreb stock exchange d.d. © 2013'.

You are provided with two options:

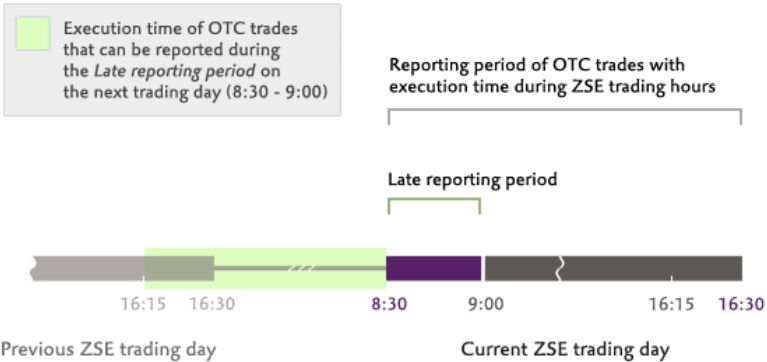
- **Manual entry** tab - for reporting single OTC transactions manually
- **File import** tab - for reporting multiple OTC transactions, specified by XML file

### Manual entry procedure

To report an OTC transaction, please fill in all the required fields:

- **Security:** the security code
- **Price:** the price in HRK (for shares) or the percentage of nominal value (for debt securities)
- **Quantity:** the traded quantity; in the case of debt securities multiplied with the nominal value of the security (the example for FNOI bonds can be found in **Frequently asked questions**)
- Buyer/seller information
  - **Settlement account:** account number issued by [CDCC](#) (Central Depository & Clearing Company Inc.)
  - **Account Type:** *client* or *house* (*house* is only applicable for financial institutions reporting OTC transactions for their own account)
- **Execution time:** the time when the transaction was executed.

Transactions executed after the ZSE trading hours can be reported on the following trading day between 8:30 and 9:00 AM. Additionally, transactions executed within the last 15 minutes of trading on ZSE, can also be reported during this period if it was not possible to report them on the date on which they were executed.



After entering all the requested information, press the **Submit transaction report** button to report the transaction.

You can verify your entry in the **Reported trades** table:

ZAGREBAČKA BURZA  
THE ZAGREB STOCK EXCHANGE

OTC transaction reporting      You are logged in as John Doe      Logoff

OTC transaction reporting      12:00:54

Manual entry   File import   **Reported trades**

2	TradeNo	Security	Price	Quantity	Execution time	Entry time Amend time	Buyer information Settlement account	Account type	Seller information Settlement account	Account type
✓	20130912-00003	3MAJ-R-A	101,00	110.000	12.09.2013. 11:53:00	12.09.2013. 11:57:02 12.09.2013. 11:57:14	124	Client	124	House
✓	20130912-00005	BD62-R-A	321,00	10.000	12.09.2013. 11:53:00	12.09.2013. 12:04:30	124	Client	124	Client

To amend the reported transaction please hover the transaction in the table above with the mouse cursor and click the icon.  
To withdraw your report please contact The Zagreb Stock Exchange Surveillance department via telephone number **+385 1 4686 835**.

### Amend procedure

Clicking the **Reported trades** tab will show a list of all OTC trades that were reported today:

ZAGREBAČKA BURZA  
THE ZAGREB STOCK EXCHANGE

OTC transaction reporting      You are logged in as John Doe      Logoff

OTC transaction reporting      11:58:00

Manual entry   File import   **Reported trades**

If the price or quantity of the financial instrument specified in the report is invalid, these parameters of OTC report can be amended via the ZSE OTC service - **on the same day they were reported, not later than 16:35h.**

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THE ZAGREB STOCK EXCHANGE

OTC transaction reporting      You are logged in as John Doe      Logoff

OTC transaction reporting      12:00:54

Manual entry   File import   **Reported trades**

2	TradeNo	Security	Price	Quantity	Execution time	Entry time Amend time	Buyer information Settlement account	Account type	Seller information Settlement account	Account type
✓	20130912-00003	3MAJ-R-A	101,00	110.000	12.09.2013. 11:53:00	12.09.2013. 11:57:02 12.09.2013. 11:57:14	124	Client	124	House
✓	20130912-00005	BD62-R-A	321,00	10.000	12.09.2013. 11:53:00	12.09.2013. 12:04:30	124	Client	124	Client

To amend the reported transaction please hover the transaction in the table above with the mouse cursor and click the icon.  
To withdraw your report please contact The Zagreb Stock Exchange Surveillance department via telephone number **+385 1 4686 835**.

Clicking the green checkmark icon on the left of the report that should be amended will show an amend form.

**Amend OTC trade:**

Price:

Quantity:

TradeNo	Security	Price	Quantity	Execution time	Entry time	Amend time	Buyer information	Settlement account	Account type	Seller information	Settlement account	Account type
20130912-00003	3MAJ-R-A	101,00	110.000	12.09.2013. 11:53:00	12.09.2013. 11:57:02	12.09.2013. 11:57:14	124	Client	Client	124	House	House

The new parameters are confirmed by clicking the **Amend** button. The report is successfully amended after the new parameters show in the table, together with last amend time.

### File import procedure

Clicking on the **File import** tab will display the XML file upload form.

The XML file format is defined by the **ZSE-OTC-1.0** schema which can be found on <https://services.zse.hr/schema/>.

Select an XML file containing the OTC transaction data and click **Validate file**. The system will upload the given XML file and perform the following checks:

- check that the XML file format conforms to **ZSE-OTC-1.0** schema
- check security symbols
- check the allowed number of decimal digits for prices and quantities
- check the execution time is in the allowed period (as described in the manual entry procedure)

When the validation is finished, the system will display the contents of the uploaded file and the results of abovementioned checks.

If any errors are found, they will be displayed. To continue, fix the errors and upload the file again.

**Invalid file**

The file can be processed only if all records pass validation

#	Security	Price	Quantity	Execution time	BUYER		SELLER	
					Settlement account #	Account type	Settlement account #	Account type
1	FNOI-D-167A	80.543	10000	12.07.2013 10:05:57	124	Client	124	House
2	HEP-D-17CA	100.223	10000.33	11.07.2013 09:05:57	124	Client	124	House

⚠ Quantity: invalid decimals count (maximum: 0)  
⚠ OTC transaction cannot be reported. Reporting period has expired.

If the file passes all checks, the contents of the file will be displayed with a success message. Press the **Process file** button to complete the report process.

OTC transaction reporting

12:00:54

Manual entry **File import** Reported trades

Please upload a file in a specified format ZSE-OTC-1.0

Choose File ZSE-OTC-primjer-ok.xml

Validate file

File passed validation.

#	Security	Price	Quantity	Execution time	BUYER		SELLER	
					Settlement account #	Account type	Settlement account #	Account type
1	FNOI-D-167A	80.543	10000	12.07.2013 10:05:57	124	Client	124	House
2	HEP-O-17CA	100.223	10000	12.07.2013 09:05:57	124	Client	124	House

Please verify the content before submitting the file for processing...

Process file

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The transaction reporting is completed after the system successfully processes the file.

Processed rows: 2

#	Security	Price	Quantity	Execution time	BUYER		SELLER	
					Settlement account #	Account type	Settlement account #	Account type
1	FNOI-D-167A	80.543	10000	12.07.2013 10:05:57	124	Client	124	House
<p>Report successfully processed. Transaction id: 20130712-000000000014</p>								
2	HEP-O-17CA	100.223	10000	12.07.2013 09:05:57	124	Client	124	House
<p>Report successfully processed. Transaction id: 20130712-000000000015</p>								

**⚠ If any errors occur during the report procedure, the errors will be displayed next to the transaction which failed. Transactions which have errors next to them have not been reported, but the transactions with a success message have been reported.**

Frequently asked questions

I want to report OTC transaction with bond FNOI-D-197A. The transaction is traded with 139 units of FNOI-D-197A at a price of 39.20%. What amount do I have to enter?

You should enter the number of traded securities multiplied by the nominal value of the bond. In this case, the nominal value (in it's traded currency) of the bond FNOI-D-197A is €5.11, so the amount to enter is **710.29** (139 \* 5.11).

Can a member of the Zagreb Stock Exchange report OTC transactions through ZSE X-Stream Trader Workstation or through self-developed applications that use X-Stream Trading API?

ZSE is currently offering OTC transaction reporting exclusively via the web application.