

The Derivatives Service Bureau (DSB)

DSB Record Status

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Date: 17 April 2023

Version: 2.0

Contents

Change History	2
1 Record Status Definition	3
2 Record Status Details	4
3 Record Status Transition	6
4 Record Last Modified Date and Time	7

Change History

Date	Change	Version	Author	Revision Details
15 August 2017	Creation	Draft	DSB	
22 September 2017	Update	1.0	DSB	Added section 7 - ISIN update in FIX subscription and File Download
12 January 2018	Update	1.1	DSB	Added section 8 – Updating expired ISINs and updated section 5 to include duplicate ISINs resolution
9 February 2018	Update	1.2	DSB	Updated section 5 ISIN Deactivation
6 March 2020	Update	1.3	DSB	Added a use case for publishing missing ISINs in the ISIN File Download
17 April 2023	Update	2.0	DSB	Updated to include UPI Service and addition of Deprecated Status

1 Record Status Definition

The ISIN and UPI Record Status can have one of the following values:

ISIN Status	Definition
New	The record was added to the DSB database
Updated	The record was updated
Expired	The record expired
Deprecated	The record does not meet the current requirements
Deleted	The record has an error

2 Record Status Details

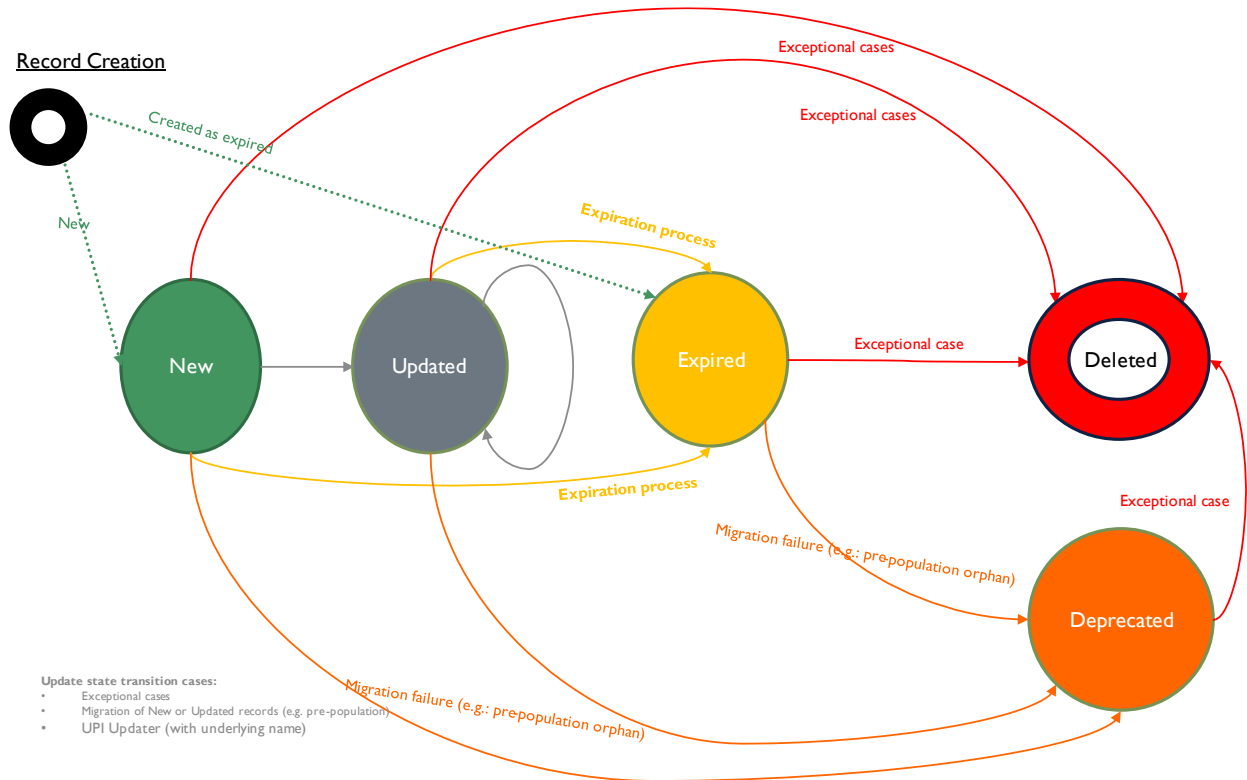
ISIN Status	Definition	Record Status Reason ¹
New	<p>For New records, LastModifyDateTime contains the time of the record creation</p> <p>New ISIN records may be added to the DSB database with Status Expired</p>	NULL (not available or empty string)
Updated	<p>An update may include:</p> <ul style="list-style-type: none"> • Update of an attribute value, • For example: when an underlying name of a UPI changes • Addition of a derived value; For example: when CFI-2019 attribute is added (to either ISIN and/or UPI) or UPI added to ISIN record. • Deletion of a derived attribute; For example deletion of old CFI codes <p>A record may be updated several times.</p> <p>Records having Status = Expired or Deprecated may be updated, however, Status will remain as Expired or Deprecated.</p>	The Record Status Reason will include details of the update
Expired	<p>Expired Status is reserved for records that contain an Expiry Date. Specifically, ISIN records may be Expired. UPI records do not have an Expiry Date.</p> <p>A record becomes Expired soon after its expiration date.</p> <p>A record is created with Status = Expired, if its Expiry Date is before its creation date.</p> <p>Records with Deprecated or Deleted status will not be updated to Expired.</p> <p>Records with Expired Status are fully supported. Users may create, retrieve, or search for Expired records. Expired records are available in the file download</p>	The Record Status Reason does not change when the record becomes expired.
Deprecated	<p>Deprecated Status is reserved for records that do not meet the current requirements/validations.</p>	The Record Status Reason will include details as to why the record is Deprecated

¹ Status Reason is human-readable text. The DSB does not recommend automatic parsing of the Status Reason as the format of the text string is not guaranteed.

	<p>Records with Deprecated status are maintained for legacy reasons.</p> <p>It is not possible to create a new record with Deprecated Status.</p> <p>Records with Deprecated Status re fully supported. Users can retrieve, or search for Deprecated records. Deprecated records are available in the file download.</p> <p>Example for deprecating a record:</p> <ul style="list-style-type: none"> • ISIN Records where the attributes do not form a valid UPI record will be set as Deprecated. (Please refer to <i>User Guide - ISIN Records Population with UPI</i> for further information) 	
Deleted	<p>Records with Deleted Status have been created in error or are in error.</p> <p>Records with Deleted Status should not be used.</p> <p>Users may retrieve, or search for Deleted records. Deleted records are available in the file download.</p> <p>Records with Deleted Status will not be updated or changed.</p>	The Record Status Reason will include details for the reason why it has become Deleted

3 Record Status Transition

The following state diagram shows how a Record Status may transition:



There are two periodically repeating events where a record’s Status may be set:

1. **Record creation:** when a record is created (by a user) typically its Status is set to New, unless the expiry date is prior to the creation date, when the Status is set to Expired.
2. **Record expiration:** Every day shortly after midnight (GMT), the DSB Expiry Process sets **ISIN** records that have an expiry date in the past to ‘Expired’. Records with status of ‘Deprecated’ or ‘Deleted’ are excluded from this process.

In addition to the above there may be exceptional events where the record status may change.

For example, the following events were the reason ISIN records’ status were Updated:

- ISINs were missing in the File Download, and their Status changed to force publication in ISIN File Download (see [GitHub 41](#))
- ISO Reference Rate was corrected (see [GitHub 134](#))
- CFI was corrected (see [GitHub 151](#))
- Full Name was corrected (see [GitHub 152](#))

Exceptional event that caused ISIN records to be set as Deleted:

- 22 ISIN records were found to be duplicates and were deleted.

4 Record Last Modified Date and Time

The Last Modified Date and Time contains the date and time when the record was last modified.

That is:

ISIN Status	Record Last Modified Date Time value
New	Time of creation of the record
Updated	The last date time that the record was updated
Expired	The last date time of these three events: <ol style="list-style-type: none"> 1. Creation of the record (if the record was created as expired) 2. Expiration of a record 3. Update of a record (if the record was updated after it was expired)
Deprecated	The last date time of these two events: <ol style="list-style-type: none"> 1. Deprecation of a record 2. Update of a record (if the record was updated after it was deprecated)
Deleted	The date time when the record became deleted.