UPI Service FAQ on Alternative Identifiers

This document contains information to assist users of the UPI Service with understanding how Alternative Identifiers can be used to search for / create UPIs, how to request permission to use them and how to use them in UPI request workflows.

Contents

1 Alternative Identifiers and the UPI Service

1.1 What are Alternative Identifiers (IDs)?

When retrieving or creating a UPI, the user is required to identify the underlier of the OTC Derivative product. In the case of Fixed Income Securities or Equities, the ISIN is used as the primary way of specifying the underlier but the DSB allows the user to enter a number of alternative underlier indentifiers.

The Alternative Underlier ID feature, based on the [CPMI-IOSCO Technical Guidance on Harmonisation of the UPI](#)[1], is complementary to the use of the International Securities Identification Number (ISIN) as the primary identifier for underlier instruments and aims to enable firms to utilise existing workflows and processes to obtain UPIs for integration into their reporting frameworks.

1.2 What underliers can be entered using an Alternative ID?

The Product Templates that support Alternative Identifiers are those that have previously only supported ISIN as their Primary Underlier ID Source. These are any templates with the Underlier Type of *Fixed Income Security, Single Stock* and *Equity Identifier* found in the Rates, Credit and Equity asset classes.

1.3 What Alternative Identifiers are available for the UPI Service?

The DSB offers mapping for CUSIP/[CINS](#), SEDOL and FIGI. These are not automatically available for usage and a permission request must be submitted to the DSB via the COSP. You can learn more about permissioning and what you need to do at [Section Permissioning](#). As per 3.3, FIGI does not require a license as it is open source but a permission request is still required to be submitted to the DSB.

Over time, depending on user demand and subject to review with regulatory authorities, other Alternative IDs may be added to the UPI Service.

1.4 Does the UPI support the input of CINS as an Alternative ID?

Since the CINS (CUSIP International Numbering System) is a mutually exclusive, international equivalent to the CUSIP – based on the same 9-character format and issued by CUSIP Global Services – the UPI classifies both as "CUSIP" when presenting the Underlier ID Source for user selection.

1.5 How can I create a UPI using an Alternative Identifier?

Once permissioned, in order to retrieve or create a UPI using an Alternative ID, the user is required to select the identifier type (ie: SEDOL, CUSIP, FIGI) in the Underlier ID Source attribute and then input the appropriate identifier in the Underlier ID attribute. The UPI service will then map the entered Alternative ID to its equivalent Primary ID (ie: ISIN) to generate or retrieve the correct UPI. This can be done both via the GUI and via API connectivity.

It should be noted that the input Alternative ID is not stored against the UPI and that the DSB does not maintain a record of the Alternative ID that was used in the UPI creation process.

1.6 What happens if Alternative Identifier mapping doesn't exist?

If a mapping between the input Alternative ID and its equivalent Primary ID is not available in the DSB's reference data source, the request will be rejected with an appropriate error message.

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[1] https://www.leiroc.org/publications/gls/roc_20170901.pdf

1.7 Can I use Alternative Identifiers for the OTC ISIN Service?

No, the Alternative Identifier mapping has been required specifically for the UPI based on the CPMI IOSCO Technical Guidance (Harmonisation of the Unique Product Identifier) that can be found here[2]. The proposed solution conforms with the workflow design and functional structure of the UPI documented in the Underlier Input Method[3] and does not apply to the OTC ISIN Service.

1.8 How is the uniqueness of the UPI maintained when Alternative Identifiers are used?

The uniqueness of the UPI is maintained by mapping the Alternative Identifiers to a Primary Underlier ID which can then be used to create or retrieve a UPI ensuring there is no duplication of an Underlier ID or UPI reference.

1.9 Can I search for UPIs using an Alternative ID?

Once permissioned, you can retrieve by attribute using an Alternative ID as part of the message, but you cannot do an Advanced Search using the Alternative ID as the Alternative IDs are not stored as part of the UPI record. This can be done via the GUI or via API connectivity but you must be a fee-paying user to be able to access this functionality.

1.10 Is it possible to receive Alternative IDs when retrieving the UPI?

In order to receive the Alternative IDs for the underlier of a UPI, the user is required to specify a Return ID Source on the request message. If a mapping exists from the Primary ID of the underlier to the specified Alternative ID Source, all identifiers for that ID Source will be appended to the returned message.

It should be noted that this utility is subject to the permissioning restrictions specified below and cannot be used if a different Alternative ID Source is specified on the input message. Please see the section on Workflows for reference.

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[2] See Footnote 1

[3] https://www.anna-dsb.com/download/upi-underlier-input-method/

2 File download and Alternative IDs

2.1 Will the Alternative Identifier be included in the daily file download?

Yes, there will be separate FDL files for each of the Alternative IDs that the DSB is licensed to support. These will be permissioned, based on the identifiers licensing, and those with restricted permissioning will only be available for access to users with the appropriate permissions.

2.2 Who can access Alternative Identifier end of day file downloads?

Users with permission to use and access the identifier type will be able to access the FDL directories via the usual links:

- For UAT https://uat.anna-dsb.com/file-download/
- For PRODUCTION (from 16 October) https://prod.anna-dsb.com/file-download/

2.3 Can all Alternative Identifiers have an end of day file download?

All the current Alternative Identifiers (CUSIP, SEDOL, FIGI) that the DSB UPI Service supports are made available as daily downloadable files (subject to permissions), however, this situation may need to be reviewed in the future.

3   Permissioning

3.1   Why can't I access information on Alternative Indentifiers?

Access to use Alternative Identifiers via the UPI Service needs to be permissioned prior to accessing any data. To read more about this process continue onto 3.2. You cannot be permissioned if you do not have a fee-paying user type for the DSB Service and will need to onboard via the [COSP](#)[4]. You can find out more about the different User Types available here: https://cosp.anna-dsb.com/home#upi-service-plans

Registered Users are not able to access Alternative Identifiers.

3.2   What do I need to do to set up my entity for using Alternative Identifiers?

Please ensure you have the necessary licenses in place with the appropriate reference data vendors. Then request permission to access the Alternative Identifier you would like to use via the [COSP](#)[5]. When you raise a support case in the COSP, please select category 'Alternative ID' and the subcategory specifying the Alternative ID required. For multiple Alternative IDs, please raise separate support cases. The DSB will then contact the Data Vendor to approve the request and confirm the license is in place. Once this is confirmed, the DSB will grant access and you will receive an update from the DSB team notifying you that you are now able to use the Alternative Identifier. As FIGI is open source, once the permission is requested via the COSP access will be granted by the DSB team without any need to contact a Data Vendor.

3.3   Which Alternative Identifiers require a license?

All Alternative Identifiers require permissioning by the DSB, the licensing details for each of the identifiers are detailed below:

- **FIGI –** open source, no additional license required (permission granted soon after ticket is raised)
- **SEDOL –** license required with LSEG
- **CUSIP –** license required with CGS / Factset

3.4   How do I ensure that I have the correct licenses in place to use Alternative Identifiers?

To validate that the appropriate licenses to use the Alternative ID feature are in place or to obtain licenses, please liaise with the Data Vendors as necessary in advance of requesting permission from the DSB. Please note that the scope of license should cover any affiliates covered by your DSB Subscription to the UPI Service.

3.5   How long will it take for permissioning for Alternative Identifiers to be granted?

The DSB endeavours to complete all permissioning within 48hrs, this is subject to communications with the Data Vendors and time zones.

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[4] https://cosp.anna-dsb.com/home#upi-sign-up

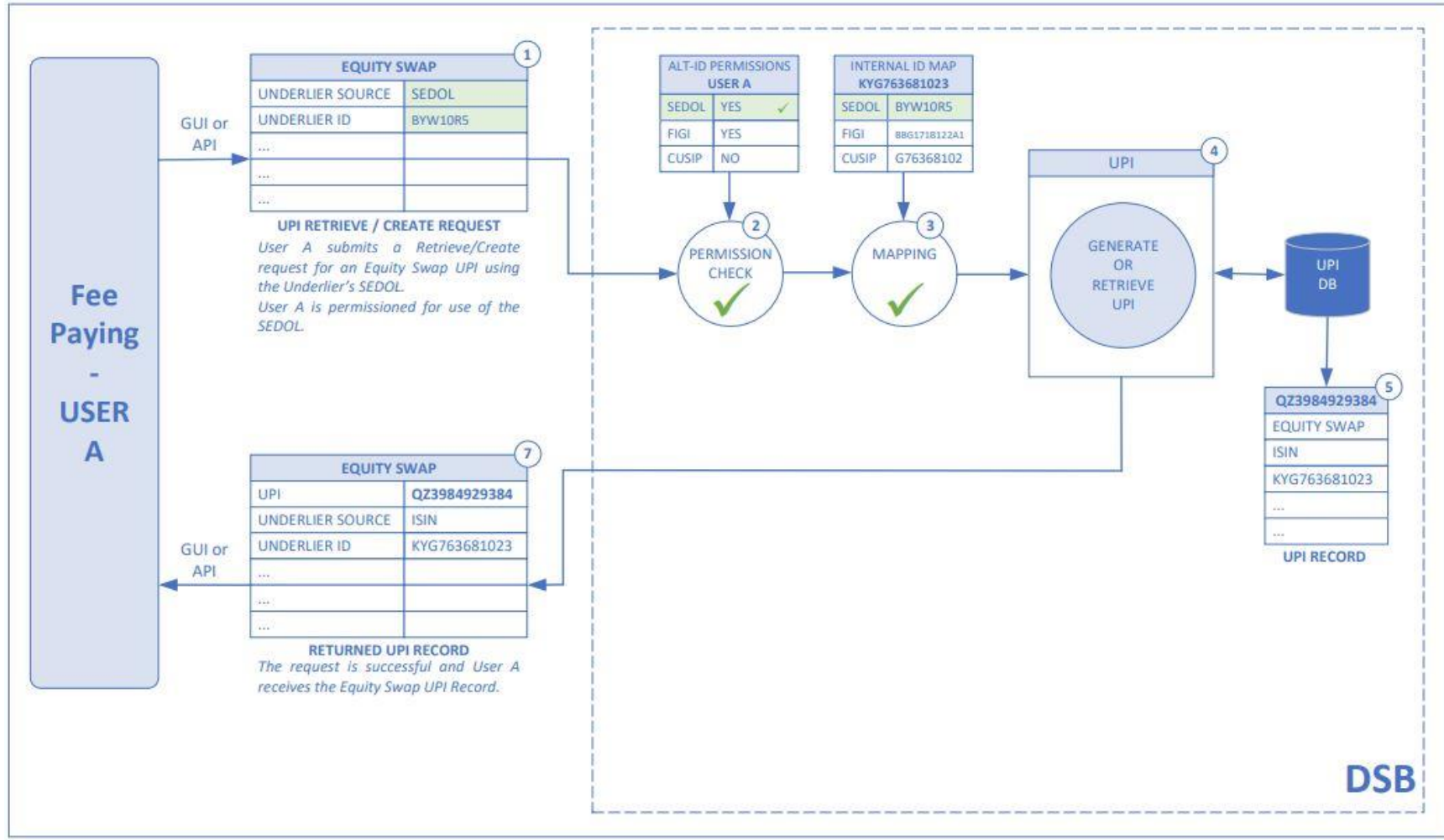[5] https://cosp.anna-dsb.com/cosp-support/submit-case

4 Workflows

The DSB detailed workflows are illustrated using diagrams which are available below. A summary of the workflows provided are as follows:

- **Workflow 1**
  Retrieve / Create UPI Request using an Alternative Underlier ID and the Primary Underlier ID ISIN to be included in the Returned message. The user is permissioned to use the Alternative ID.
- **Workflow 2**
  Retrieve / Create UPI Request using an Alternative Underlier ID. The user is not permissioned use of the Alternative ID.
- **Workflow 3**
  Retrieve / Create UPI Request using an Alternative Underlier ID. The user is permissioned to use the Alternative ID but the request is unsuccessful.
- **Workflow 4**
  Retrieve / Create UPI Request using ISIN as the Primary Underlier ID and the Alternative Underlier ID to be included in the Returned message. The user is permissioned to use the Alternative Underlier ID.
- **Workflow 5**
  Retrieve / Create UPI Request using an Alternative Underlier ID and the Alternative Underlier ID to be included in the Returned message. The user is permissioned to use the Alternative Underlier ID.
- **Workflow 6**
  Retrieve / Create UPI Request using ISIN as the Primary Underlier ID and the Alternative Underlier ID to be included in the Returned message. The user is not permissioned to use the Alternative Underlier ID.
- Workflow 7
  Retrieve / Create UPI Request using one Alternative Underlier ID and another Alternative Underlier ID to be included in the Returned message. The user is permissioned to use both Alternative Underlier IDs but the request is unsuccessful due to mismatched values.
- **Workflow 8**
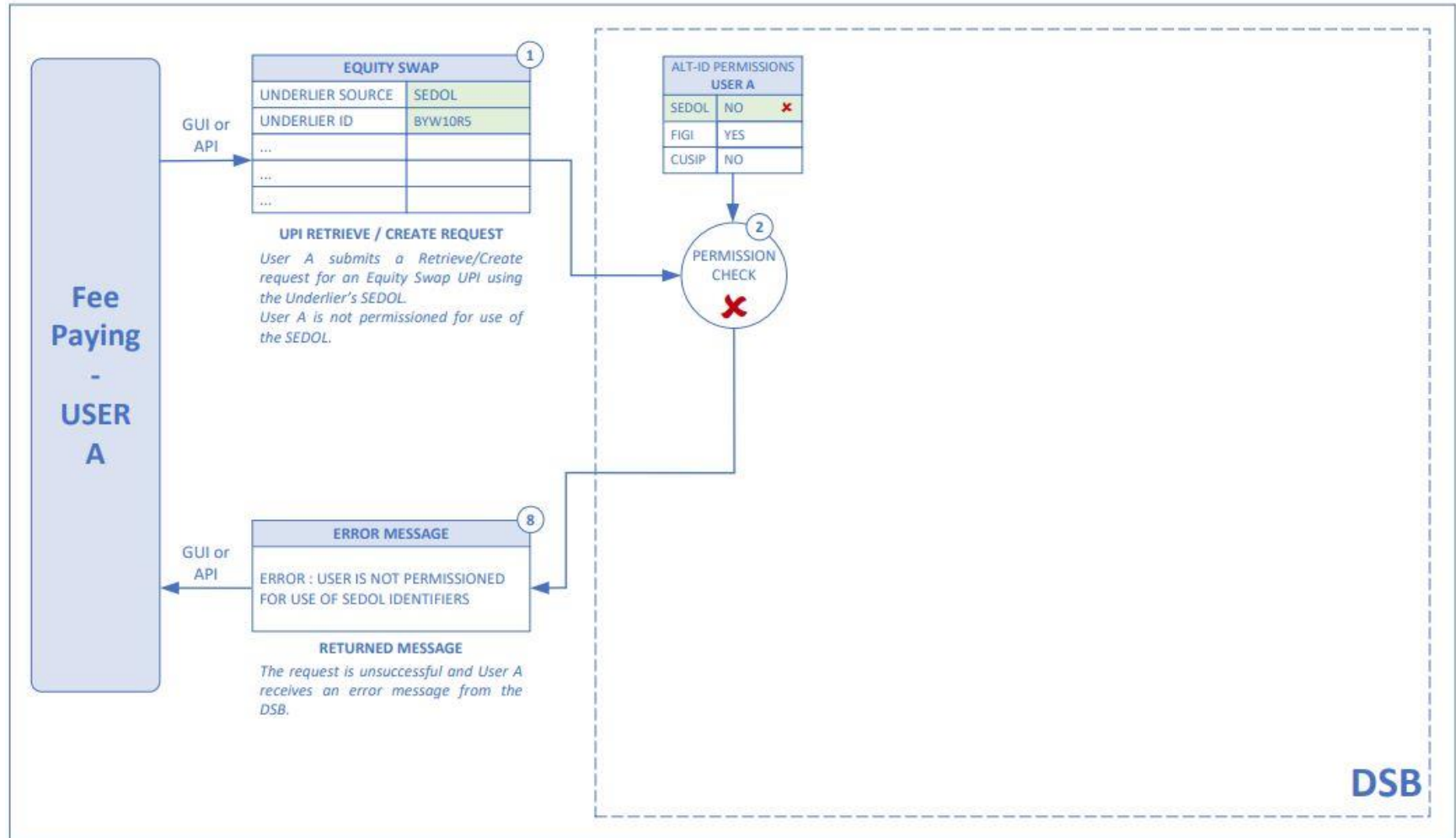 Retrieve / Create UPI Request using Primary Underlier.

4.1 Workflow 1 – Input Alt-ID: Success

User requests UPI using an Alternative Identifier, has the correct permissions, mapping exists and a UPI is generated or retrieved.
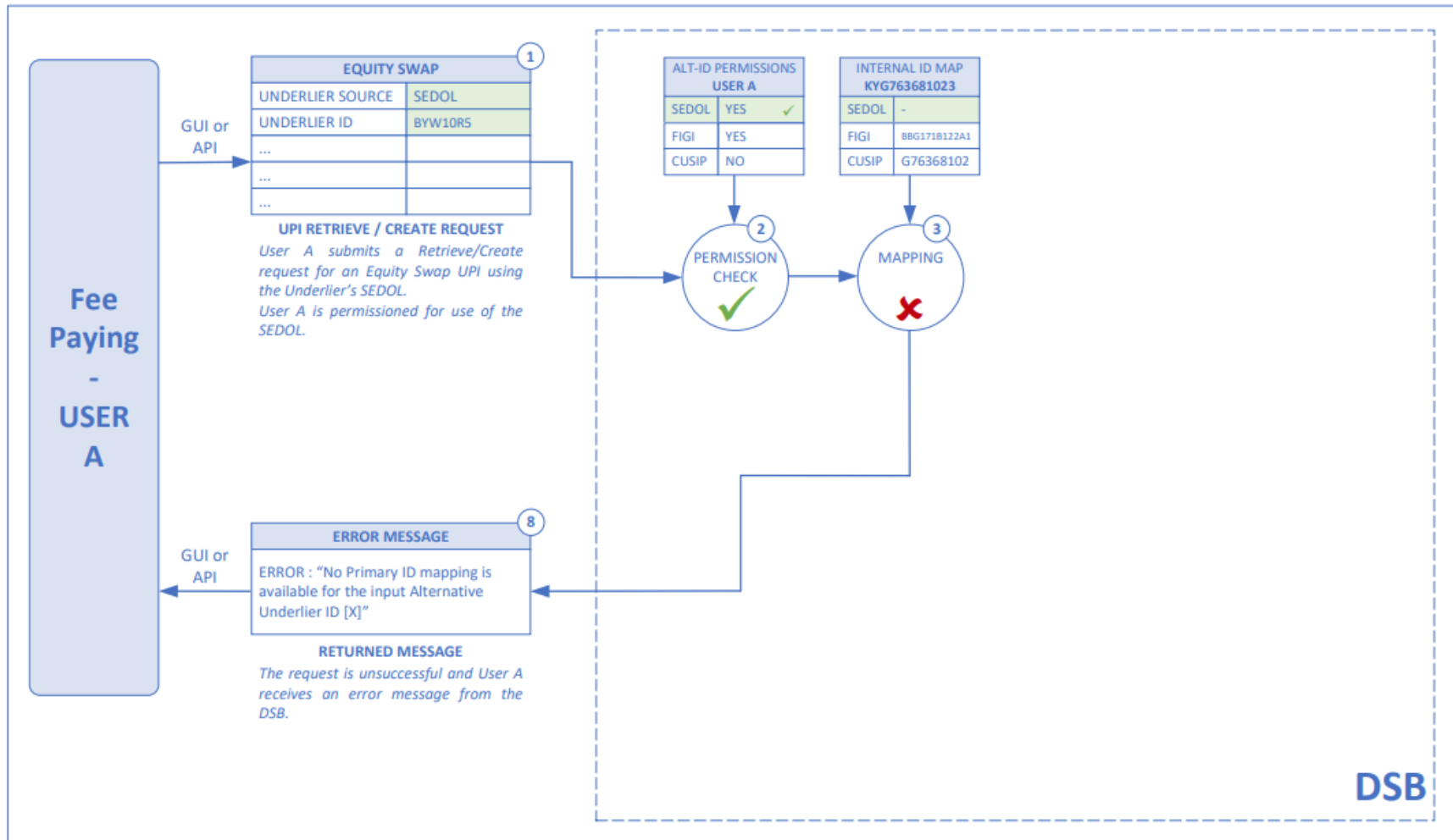
4.2 Workflow 2 – Input Alt-ID: Permission failure

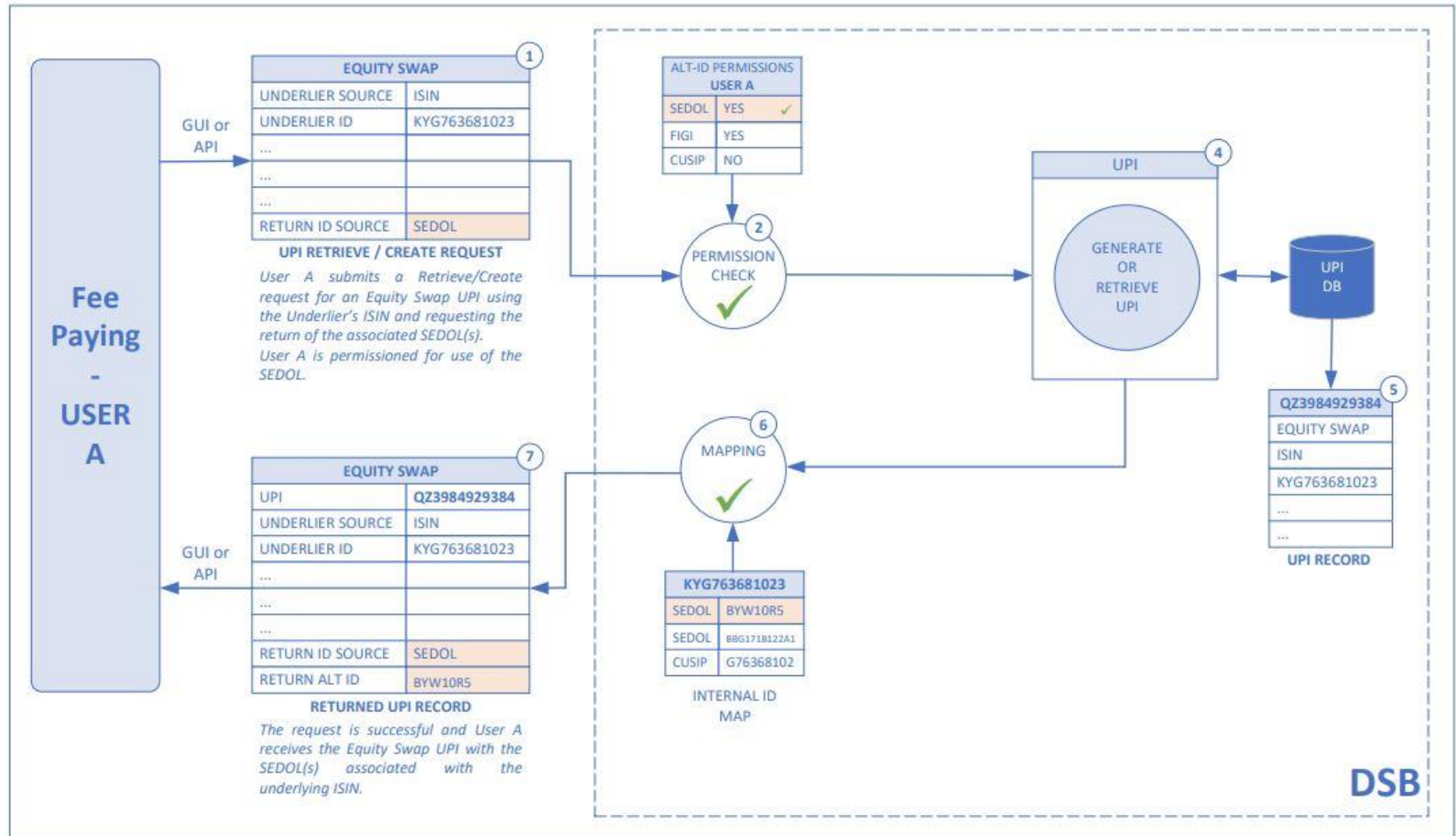User requests UPI using Alternative ID but permissioning is not in place.

4.3 Workflow 3 – Input Alt-ID: Mapping failure

User requests UPI using Alternative ID, permissioning is in place but there is no mapping available and the user will receive an appropriate error message.
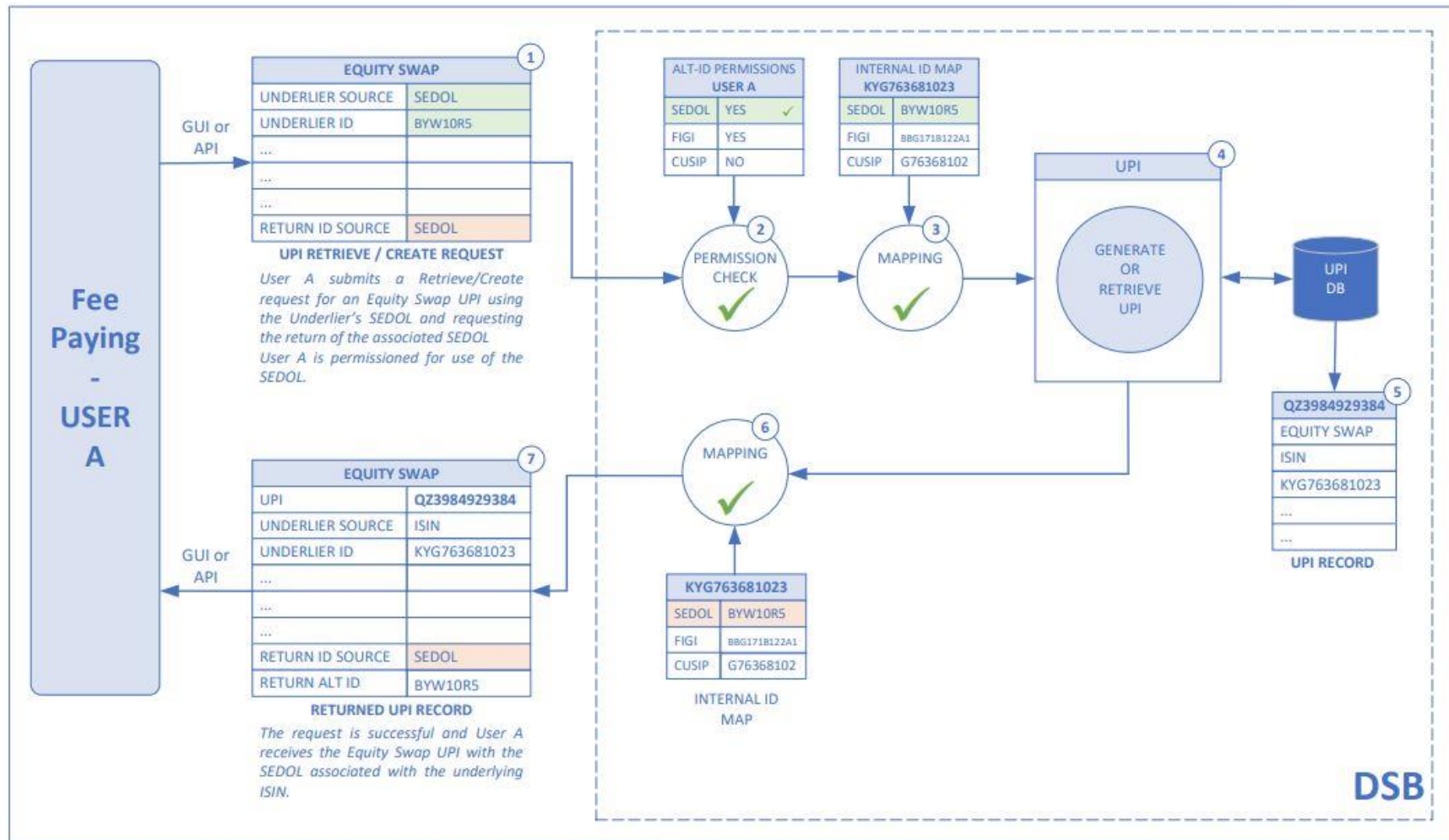
4.4 Workflow 4 – Return Alt-ID: Success

An ISIN is used to request the Alternative ID's associated, permissioning is in place and mapping exists for the Alternative ID to be retrieved.
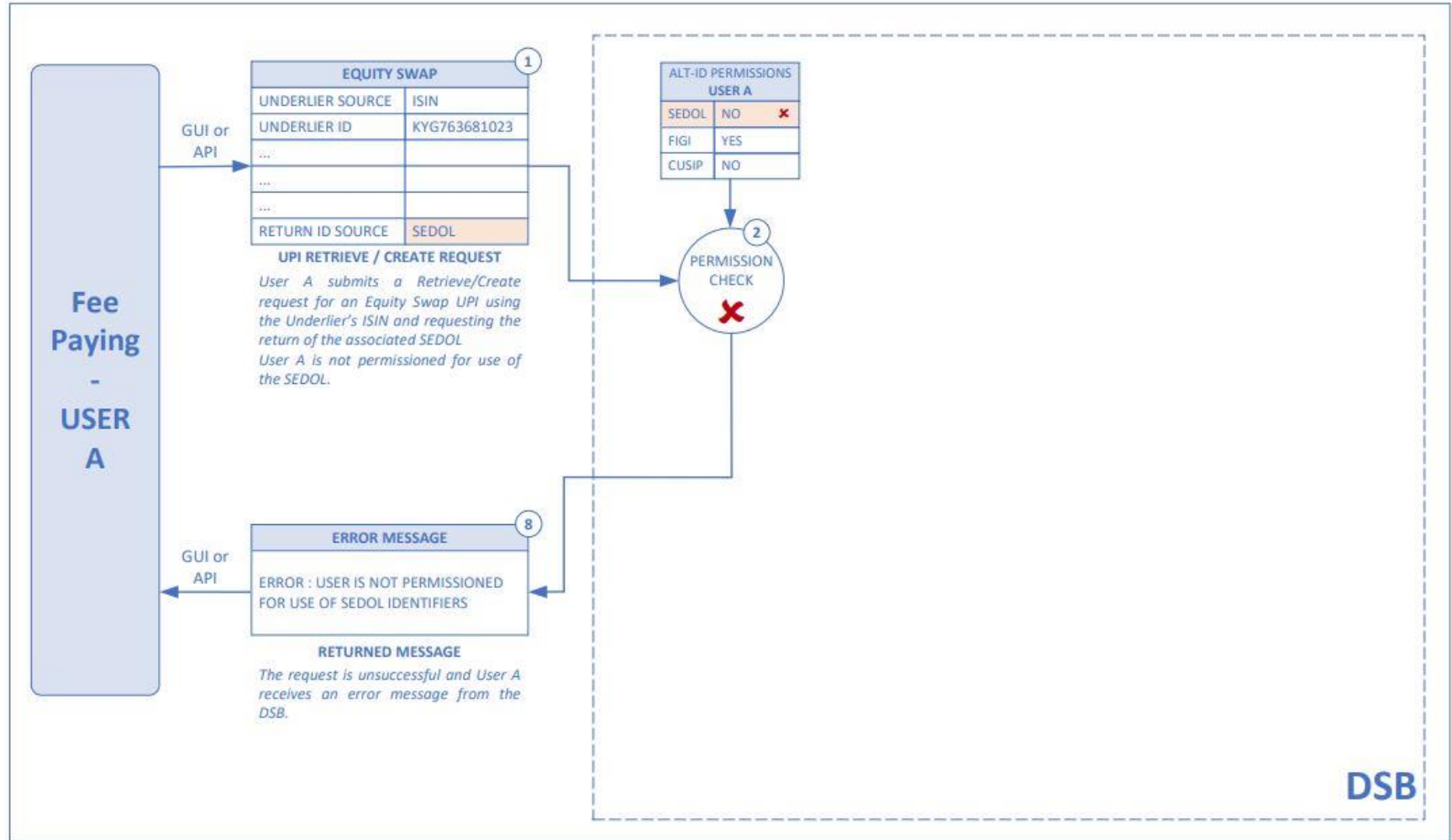
4.5 Workflow 5 – Input and Return Alt-ID: Success

User requests UPI using an Alternative Identifier also requesting any other associated Alternative IDs, has the correct permissions, mapping exists and a UPI is generated or retrieved alongside the associated Alternative IDs where mapping exists.
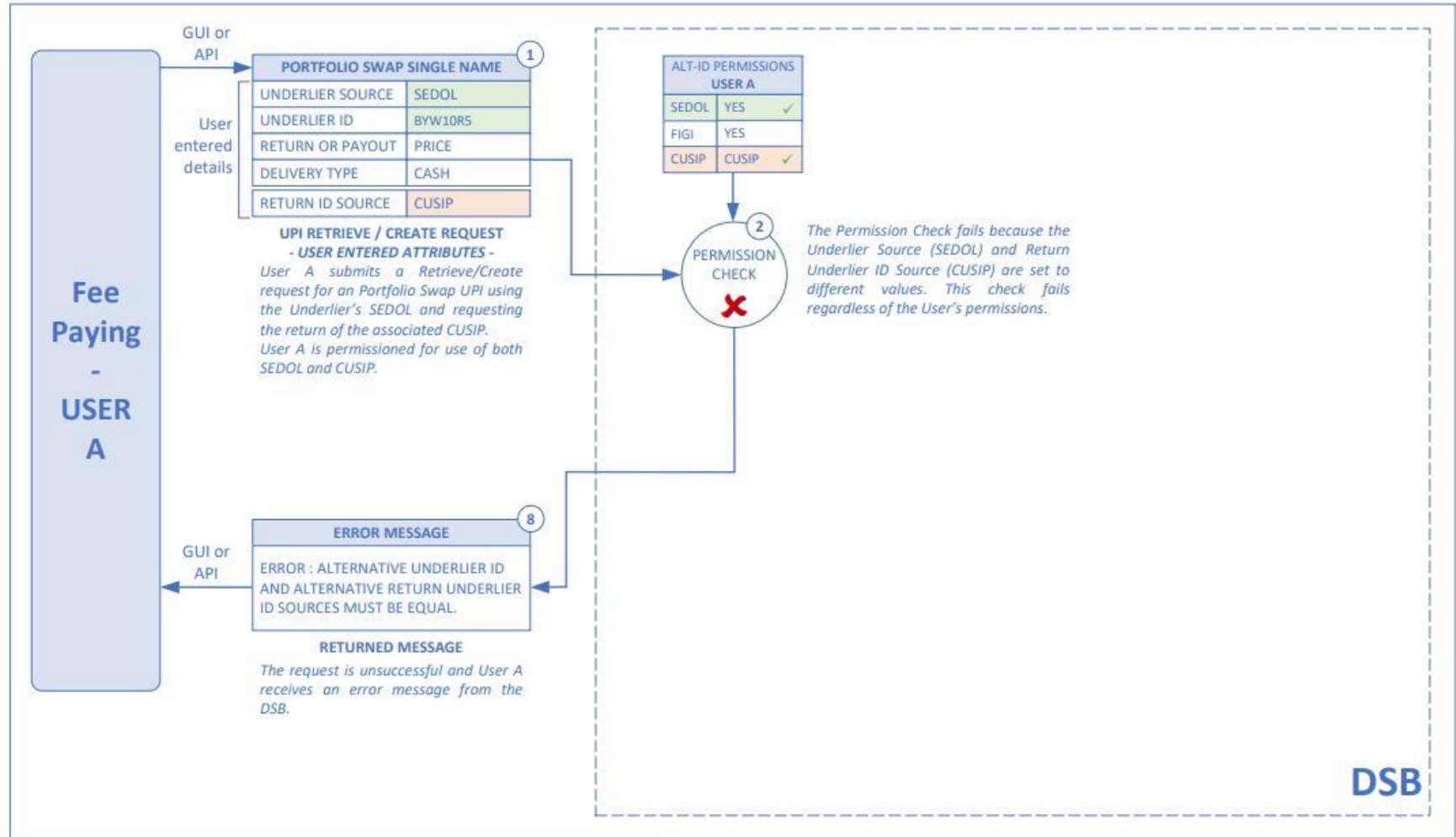
4.6 Workflow 6 – Return Alt-ID: Permission failure

User requests Alternative IDs for an ISIN but does not have permissioning in place.

4.7 Workflow 7 – Input and Return Alt-ID: Mismatched source ID failure

User submits mismatched Alternative IDs which leads to a failed check.

4.8   Workflow 8 – Primary ID Input: Success

For reference, this is the workflow for creating a UPI using the Primary ID (ISIN).