COSP FAQ

(Last updated 13th April 2023)

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1 Client Onboarding and Support Platform (COSP) FAQs

1.1 Registered User access to UPI

The DSB provides free access to Registered Users. Any professional user can become a Registered User to view and download UPI data via GUI (web access) and/or File Download.

When signing up as a Registered User on the ANNA-DSB website, the DSB asks for a small amount of information about themselves in their professional capacity:

- Name
- Country (primary work location)
- Organisation Type
- Legal Entity Name of their Organisation (where relevant)

A Registered User can sign-up in the context of:

1. Their role in an organisation, whereby the Registered User is asked to provide the Legal Entity Name of their organisation and select the relevant Organisation Type from the list presented e.g., Bank, or
2. As an individual in a professional capacity e.g., as an Academic, by selecting Individual in Organisation Type list.

When signing-up, Registered Users must accept and comply with the [DSB Terms of Use for Registered and UAT Users](#).

1.1.1 Why do I need to provide this information and how does the DSB look after my information?

The requested information allows the DSB to understand the make-up of the population of UPI Registered Users which in turn assists the DSB in ensuring that the service meets the needs of its Users.

Please refer to the [DSB Privacy Policy](#) for further details on why the DSB collects certain information, how it is used, the legal basis for collecting it, and the information security measures taken.

1.1.2 What do I do if I no longer need my Registered User account?

If a Registered User account is unused for three months, after receiving a notification to prompt the User to log in to retain access, the account will be deleted if it remains inactive. After this point, should access be required going forward, the User can simply repeat the sign-up process.

1.1.3 What do I do if my information changes?

If any information provided during Registered User sign up changes (e.g., Name, Country, Legal Entity Name), Registered Users are asked to sign-up again using an alternative email address.

1.2 Fee-paying or Intermediary access to the UPI service

Users who wish to search for or create UPIs manually or programmatically should sign-up to one the following fee-paying User Type subscriptions:

- Infrequent
- Standard
- Power

- Search Only API
- Power & Intermediary
- Intermediary

For information about different levels of access to help you select your User Type, please refer to the options on the [ANNA-DSB website](#).

The Client Onboarding and Support Platform (COSP) is an online, self-service platform which allows fee-paying Users to perform the administrative tasks associated with onboarding and managing a UPI subscription.

Key steps in the self-service onboarding process for the UPI service in UAT include:

- Creation of your User entity subscription (for the selected User Type)
    - The DSB requests the Legal Entity Identifier (LEI) which is used to retrieve legal entity name, company number and registered address. Section 1.4.1 explains why the LEI is requested and what to do if your organisation does not have one.
    - The user is required to specify Organisation Type of their entity (see 1.9 for more details).
- Granting of permissions to User entity staff to access the UPI Service via the GUI (manual access via the DSB website) and API (programmatic) connections (dependent on User Type selected)
- Granting permissions to User entity staff for use of the COSP to undertake the administrative activities to set-up and manage the UPI subscription. These individuals are referred to as COSP Administrators. See section 1.3 below for more details on managing COSP Administrators.

When signing-up via the COSP, Users will be required to accept and adhere to the [COSP Terms of Use.](#)

Prior to using the UPI Production service, upon its launch on 16th October 2023, fee-paying Users are required to review and sign the UPI Subscription Form and provide payment details for the UPI fees. These features will be available in the COSP in Q3 2023, before the launch of the UPI Production service.

1.3   Management of COSP Administrators

The person who first signs-up the User entity via the COSP is a Client Administrator by default. A COSP Administrator can onboard the User entity and manage the subscription to the UPI service, including managing connectivity to the UPI service.

This person can add further Client Administrators at the 'Manage COSP Administrators' screen. On this screen it is possible to:

- Add/remove COSP Administrators
- Resend validation email
- Reset password

Depending on the User Type of your subscription, limits apply on how many COSP Administrators a User entity can have:

- Power: 10
- Standard: 5
- Intermediary: 5
- Search-only API: 5
- Infrequent: 2

1.3.1 I added a COSP Administrator and their account is showing as 'Pending'. Why is that?

A new COSP Administrator will be sent an email asking them to validate their email address and set password in order to access the COSP. They have 24 hours until the validation link in the email expires. During that time their account will show in COSP as 'Pending'.

1.3.2 I added a COSP Administrator and their account showing as 'Expired'. Why is that?

A new COSP Administrator will be sent an email asking them to validate their email address and set password in order to access the COSP. If they have not validated their email within 24 hours, the validation link in the email expires. Such accounts will show as 'Expired' on the COSP Administrators screen in COSP. Please click 'Resend Validation Email' icon to send a new email validation link.

1.4 Onboarding Fee-paying / Intermediary users

1.4.1 Why do I need to provide the LEI and what do I do if my company does not have one?

To subscribe to the UPI Service as a fee-paying User, the DSB requires Users to provide an active LEI to enable the DSB to verify the identity of the User entity against the central record held by the Global Legal Entity Identifier Foundation (GLEIF). This streamlines the DSB's user entity identity verification process.

Please refer to the DSB Privacy Policy for further details on why the DSB collects certain information, how it is used, the legal basis for collecting it, and the information security measures taken.

The DSB asks users to obtain an LEI if they do not have one. Details of how to obtain an LEI can be found on the GLEIF website[1]. There may be a lead time to obtain or update an LEI with the respective Local Operating Unit (LOU) (an organization authorized to issue LEIs to legal entities). As such, entities who do not already have an active LEI are encouraged to prepare in advance.

If your company cannot obtain an LEI, please contact the DSB Support Team via the Contact Us page on the DSB website. Please provide the following data in your request:

- Legal Entity Name
- Company Number (if exists)
- Company Address
- Jurisdiction
- User Type
- Reason your company cannot obtain an LEI.

1.4.2 Why is my LEI not accepted when I enter it into the COSP?

The COSP will only accept LEIs that are 'Active' in GLEIF (Global Legal Entity Identifier Foundation).

Depending on the LEI Issuer, there may be a lead time for a newly issued/updated LEI to reach GLEIF. As such, entities who do not already have an active LEI are encouraged to prepare in advance.

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[1] https://www.gleif.org/en/about-lei/get-an-lei-find-lei-issuing-organizations

If your company cannot obtain an LEI, please contact the DSB Support Team via the [Contact Us](#) page on the DSB website.

1.4.3   What do I do if my User entity data is incorrect?

The DSB will be using GLEIF data to source the following data about your User entity:

- Legal Entity Name
- Address
- Company Number
- Jurisdiction

Should the user find any of this information to be incorrect, the DSB asks that you request an update in GLEIF prior to signing up with the DSB. If you need to continue with the onboarding process before the updates are made, please contact the DSB Support Team via the [Contact Us](#) page on the DSB website.

1.4.4   Can I sign up and manage multiple User entities?

Yes, the COSP will allow a user to onboard and manage subscriptions for multiple User entities.

Please click 'Fee-paying / Intermediary access to UPI Sign Up' and log in using your email and password.

Having signed up more than one User entity, the COSP will prompt the user to select the User entity subscription they wish to manage when they log in to the COSP.

1.4.5   What do I do if my user information (about myself) changes?

If the information you provided about yourself during your sign-up changes (such as your Name or Country), please update your user record in COSP:

- If your Country changes, please update it on the 'Manage COSP Administrators' screen. If you manage multiple User entity subscriptions, the update needs to be made only once under any one User entity subscription.
- If your name and email change, please add yourself as a new COSP Administrator at the 'Manage COSP Administrators' screen. Once complete, log back in to COSP using your new account and delete the entry with your original details. If you manage multiple User entity subscriptions, please add yourself as a new COSP Administrator on each of them.

1.4.6   What do I do if my User entity information changes?

If your User entity information changes (e.g., Legal Entity Name, Legal Address) before you sign a UPI Subscription Form[2] with the DSB, please ensure that your company data is updated in GLEIF against your LEI. The DSB will automatically retrieve the most up-to-date information from GLEIF for your LEI for the UPI Subscription Form.

Should user entity information change after signing of the UPI Subscription Form, please let us know by raising a Support Case in COSP.

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[2] The UPI Subscription Form is not available in COSP until Q3 2023, prior to the UPI Production launch on 16th October 2023. It does not need to be signed for use of the UAT system.

1.4.7   What do I do if I want to change my User Type

If you wish to change your User Type, please navigate to the drop-down menu under your name in the top right-hand corner when you are logged into the COSP. Select 'Amend User Type'. You are then able to select an alternative User Type. Where for example you amend from a Power User to a Standard User (which does not offer API connectivity), you are required to first remove your API Connections.

1.4.8   What do I do if I no longer need my UPI Subscription?

If you signed up to participate in User Acceptance Testing (UAT), but for whatever reason you do not need to connect to the Production environment, please let us know by raising a UPI Support Case in COSP.

1.5   Setting up UPI service connectivity in the COSP

1.5.1   How many GUI users can I set-up?

Fee-paying Users and Intermediaries can set-up an unlimited number of GUI users.

1.5.2   I am an API user (Power or Search-Only API), how many API connections can I create?

Power Users can create up to a total of 10 API connections (Direct and/or Intermediary, FIX and/or REST).

Search-Only API Users can create up to a total of 2 API connections (Direct and/or Intermediary, FIX and/or REST).

1.5.3   I am an API user (Power or Search-Only API), do I have to create a GUI user account?

The DSB asks all API users to have at least one GUI user account as a back-up to API connectivity.

1.5.4   How does the DSB use information provided about Department when I create an API connection?

For each API connection you request, we ask for the name of the Department within your organisation that will be using that connection. This can be anything you choose relating to the department or function you work in. Department names will then be abbreviated and form part of unique usernames for API Connections. Department names provided will not be used for any other purpose by the DSB.

1.5.5   When will my FIX/REST connectivity be activated?

FIX/REST Direct connections are activated in UAT as soon as the connectivity request is made in the COSP.

FIX/REST Intermediary connections are activated in UAT once the API connectivity request is made by the end user in the COSP <u>and</u> once the Intermediary has signed up with the DSB.

Until an API connection is activated, it shows as 'Pending' status in the COSP.

1.5.6   What do I do if I did not take note of my API connection password?

To keep user credentials safe, the DSB does not store passwords. They are displayed temporarily in the COSP when they are set up. If you did not take a note of your API connection password when it was displayed in the COSP, please use the 'Reset Password' button on the API connectivity screen in the COSP.

1.5.7   FIX/REST API Certification

Users requesting direct FIX/REST connectivity are required to complete the FIX/REST certification process in UAT in order to be granted access to Production.

For FIX/REST connectivity via Intermediary, the Intermediary will need to complete the FIX/REST certification process in UAT in order to be granted access to Production.

Upon receiving an API connectivity request via COSP, the DSB Technical Support team will send details regarding how to start the FIX/REST Certification process to the person who requested connectivity in the COSP and to any contacts for FIX/REST related issues provided in the COSP.

If you are requesting API connectivity via an Intermediary, please share the details of the FIX/REST Certification process you receive from the DSB with your Intermediary contacts.

1.6   GUI User management

Navigate to the 'GUI Users' screen in the COSP to:

- Add/remove GUI Users
- Resend Validation Email to GUI Users
- Reset password
- Change country of work (primary work location) of GUI Users

1.6.1   I added a GUI User and their account is showing as 'Pending'. Why is that?

A new GUI user will be sent an email asking them to validate their email address and set a password in order to access the UPI Service. Users have 24 hours until the validation link in the email expires. During that time their account will show in COSP as 'Pending'.

1.6.2   I added a GUI User and their account is showing as 'Expired'. Why is that?

A new GUI user will be sent an email asking them to validate their email address and set a password in order to access UPI Service. If they have not validated their email within 24 hours, the validation link in the email expires. Such accounts will show as 'Expired' on the GUI Users screen in COSP. Please click 'Resend Validation Email' to send a new validation link.

1.7   API connectivity management

Navigate to the 'API Connectivity' screen to:

- Add or remove API Connections
- Reset password
- Change contacts for FIX/REST related issues

1.8 Support

If you have a query or issue, firstly please make use of these self-help materials.

Should you not find the answer you are looking for, please use the [Contact Us](#) page.

1.9 Organisation Types

All Users are required to specify their organisation type during the onboarding process.

Organisation types fall into one of two categories:

1. Category 1 Organisation Types

Affiliates of a User falling within a Category 1 Organisation Type are required to acquire their own Subscription(s) with the DSB and will be treated as a single separate User regardless of whether they are an Affiliate of another User:

- Brokerage
- Trade Execution Platform
- MTF - Trade Execution Platform
- OTF - Trade Execution Platform
- SEF - Trade Execution Platform
- Other
- Trade Repository

2. Category 2 Organisation Types

Affiliates of a User falling within a Category 2 Organisation Type that have the same organisation type are entitled to benefit from the Subscription of the Category 2 User without having to acquire their own Subscriptions):

- Authority
- Bank
- Clearing House
- Commodity Trading Advisor
- Corporate
- Custodian
- Data Management Provider
- Institutional Asset Management Services
- Non-financial
- Other Financial
- Pension Fund Manager
- Technology Service Provider
- Trade Association
- Wealth Management Services

1.10 Existing OTC ISIN Users subscribing to UPI

1.10.1 Can I use my OTC ISIN subscription to access UPIs?

No, the OTC ISIN service and the UPI service require separate Subscriptions and each have a separate fee model.

1.10.2 I am a Power User for OTC ISIN. Do I have to be a Power User for UPI?

No, since the services are managed via separate subscriptions, User Types are specific to each service. You can subscribe to a different User Type for each service.

1.10.3 I am an existing OTC ISIN User. Do I have to provide my onboarding details again for UPI?

Yes, all new UPI subscribers must complete the simple and quick onboarding steps via the Client Onboarding and Support Platform (COSP) for the UPI Service.

1.10.4 Can I use the COSP to manage my OTC ISIN connectivity and subscription?

No, the COSP is currently available only for UPI onboarding, and management of the UPI subscription.

1.10.5 Can I use my OTC ISIN GUI user credentials (email and password) for the UPI service?

Login credentials are separate per service. You can use the same email address as your username for the UPI service, but you will be prompted for a separate password. Within the UPI service, you will however be able to use the same password for both COSP and GUI user access (if you require both).

1.10.6 As an OTC ISIN Power User, can I use my existing OTC ISIN API connections to also search for/create UPIs?

No, API connections are unique per service and per environment. You will be required to create and manage separate API connections in the COSP for your UPI service, which will have separate credentials to those for your OTC ISIN API connections.

1.10.7 I am subscribed to both the OTC ISIN and UPI services. How do I raise a query or issue to the DSB?

Users of both services can use the COSP support case feature to raise queries about either service.