

Daily Market Data Report Technical Specification

September 30, 2024

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1 OVERVIEW

1.1 Goal

This document provides the technical specification for how a Security-Based Swap Execution Facility (SBSEF) would provide the Daily Market Data Report (DMDR) required under 17 CFR 242.825(c).

The Technical Specification defines syntax of data elements, their contents, element arrangements, validation methods and dissemination methods for the DMDR.

This Technical Specification has been created for a technical audience for conforming daily market data to the Schema for DMDR. This specification does not provide guidance on any rule.

Please provide any comments on the DMDR Schema via email to [StructuredData \(at\) sec.gov](mailto:StructuredData@sec.gov) and include “DMDR Schema” in the “General Subject Matter” section.

1.2 Notation

Literal technical syntax appears in a **fixed width font**.

1.3 Concept Definition Tables

The headers of a concept definition table are as follows:

Ref. provides the citation to the relevant section within 17 CFR 242.825(c) (Regulation SE Rule 825(c)).

Concept is a brief title for the data element.

D denotes the depth of nesting within the XML report that the element occurs.

denotes the number of occurrences allowed for a given element. “1” indicates the element is required; “1..n” indicates that at least 1 and at most n occurrences are allowed, with “*” indicating an unlimited number of occurrences.

Element is the abbreviation used in the schema and in schema-valid instance files. For example, “Version” is a concept, while `version` is the element name.

Definition: When the concept is defined in the rule that definition is provided here. Simple elements may be described as numbers, text, time stamps, etc., but some elements are composed of other elements.

1.4 Abbreviations Used Within Element Names

The abbreviations are drawn from conventional XML element names.

Abbr.	Meaning	Abbr.	Meaning (cont.)
Amt	Amount	Mnrr	Manner
Apld	Applied	Mtd	Method
Authrty	Authority	Nm	Name
Ccy	Currency	Nmnl	Nominal
Clng	Closing	Ntnl	Notional
Cnt	Count	Opng	Opening
Desc	Description	Prc	Price
Dscrtn	Discretion	Sttlm	Settlement
Dscrtnry	Discretionary	Tnr	Tenor
Dtrmn	Determine	Tradd	Traded
Expltn	Explanation	Trad	Trades
Frmt	Format	Ttl	Total
Ftnt	Footnote	Typ	Type
Hgst	Highest	Upi	Universal Product Identifier
Lwst	Lowest	Usd	US Dollar

1.5 Reporting No Activity

All numeric fields are constrained to be non-negative numbers. The number of Trades is constrained to be a nonnegative whole number.

Security-Based Swaps and tenors thereof that had no activity require no data, but if they are included, use 0 to indicate the absence of activity. Some fields are optional, as shown below.

1.6 Validation

XML Schema validation will signal errors such as missing or misplaced elements, negative values where a nonnegative value is required, and text fields with too many characters.

2 DAILY MARKET DATA REPORT DEFINITIONS

Ref.	Concept	D	#	Element	Format														
(c)	Daily market data report.	0	1	dailyMarketDataReport	Root element.														
N/A	Version of this DMDR schema	1	1	version	Fixed value 1.														
(c)(1)	SBSEF Name	1	1	sbsef	From 1 to 100 characters.														
(c)(1)	Business date of data in the report	1	1	date	ISO 8601 date format YYYY-MM-DD .														
(c)(1)	Optional date and time report generated	1	0..1	generated	ISO 8601 format with time zone.														
(c)(1)	SBS/Tenor item	1	0..*	sbsTnr	(Container for level 2 elements)														
(c)(1)	SBS Name	2	1	sbsNm	Text up to 100 characters.														
(c)(1)	UPI	2	0..1	upi	ISO 4914 UPI of 12 alphanumeric characters, optional.														
(c)(1)	Period until expiration of the contract traded (Tenor)	2	1	tenor	ISO 8601 duration, in the format P#Y#M#D# , where # is a whole number. Longer periods are preferred and mixed units discouraged, <i>e.g.</i> , P1Y meaning 12 months preferred over P12M , and P30M preferred over P2Y6M or P1Y18M , although all are allowed.														
(c)(1)	Currency	2	1	ccy	ISO 4217 three letter code.														
(c)(1)	Price Format, one of seven pricing conventions.	2	1	prcFrmt	<table><tr><td>SprdCcy</td><td>Spread (currency)</td></tr><tr><td>SprdDcml</td><td>Spread (decimal)</td></tr><tr><td>SprdBsisPts</td><td>Spread (basis points)</td></tr><tr><td>BdPricPctg</td><td>Bond price (percentage)</td></tr><tr><td>PrmCcy</td><td>Premium (currency)</td></tr><tr><td>PrmPctNtnl</td><td>Premium as percentage of Notional</td></tr><tr><td>FxdRateDcml</td><td>Fixed rate (decimal)</td></tr></table>	SprdCcy	Spread (currency)	SprdDcml	Spread (decimal)	SprdBsisPts	Spread (basis points)	BdPricPctg	Bond price (percentage)	PrmCcy	Premium (currency)	PrmPctNtnl	Premium as percentage of Notional	FxdRateDcml	Fixed rate (decimal)
SprdCcy	Spread (currency)																		
SprdDcml	Spread (decimal)																		
SprdBsisPts	Spread (basis points)																		
BdPricPctg	Bond price (percentage)																		
PrmCcy	Premium (currency)																		
PrmPctNtnl	Premium as percentage of Notional																		
FxdRateDcml	Fixed rate (decimal)																		

Ref.	Concept	D	#	Element	Format				
(c)(1)(i)	Trade Count	2	1	tradCnt	Number of trades, a whole non-negative number.				
(c)(1)(ii)	Total notional amount traded (USD)	2	1	ttlNtnlAmtTraddUsd	A non-negative decimal.				
(c)(1)(iii)	Total notional amount of block trades (USD)	2	1	ttlNtnlAmtBlckTradsUsd	A non-negative decimal.				
(c)(1)(iv)	Opening price	2	1	opngPric	Non-negative decimal.				
(c)(1)(iv)	Closing price	2	1	clsqPric	Non-negative decimal.				
(c)(1)(v)	Settlement price	2	0..1	sttlmPric	If the settlement price differs from the closing price, a non-negative decimal, otherwise omitted.				
(c)(1)(vi)	Lowest price of a sale or offer, whichever is lower, that the SBSEF reasonably determines accurately reflects market conditions.	2	1	lwstPric	Non-negative decimal.				
(c)(1)(vi)	Lowest price (type), indicating whether the lowest price represents a sale or an offer.	2	1	lwstPricType	<table><tr><td>S</td><td>Sale</td></tr><tr><td>O</td><td>Offer</td></tr></table>	S	Sale	O	Offer
S	Sale								
O	Offer								
(c)(1)(vi)	Highest price of a sale or bid, whichever is higher, that the SBSEF reasonably determines accurately reflects market conditions.	2	1	hgstPric	Non-negative decimal.				
(c)(1)(vi)	Highest price (type), indicating whether the highest price	2	1	hgstPricType	<table><tr><td>S</td><td>Sale</td></tr><tr><td>B</td><td>Bid</td></tr></table>	S	Sale	B	Bid
S	Sale								
B	Bid								

Ref.	Concept	D	#	Element	Format
	represents a sale or a bid.				
(c)(2)(ii)	Discretionary authority applied	2	0..1	dscrtnryAuthrtyApld	Fixed value 'Y', present if and only if discretion was applied.
(c)(2)(ii)	Discretionary authority applied (footnote)	2	0..1	dscrtnryAuthrtyApldFtnt	Footnote corresponding to "Y" indicates that SBSEF used discretion in determining this price.
(c)(2)(i)	Method used to determine nominal prices	1	1	mtdUsedToDtrmnNmnlPric	Text up to 5000 characters.
(c)(2)(i)	Method used to determine settlement prices	1	1	mtdUsedToDtrmnSttlmPric	Text up to 5000 characters.
(c)(2)(ii)	Explanation that the SBSEF may use certain discretion in determining the opening and/or closing ranges of the settlement prices.	1	0..1	dscrtnExpltn	Text up to 5000 characters. Include only if SBSEF uses discretion.
(c)(2)(ii)	Description of how the SBSEF may use discretion in determining the opening and/or closing ranges or the settlement prices.	1	0..1	dscrtnMnnrDesc	Text up to 5000 characters. Include (with dscrtnExpltn) only if SBSEF uses discretion.

3 REFERENCES

XML Schema 1.0: www.w3.org/XML/Schema

4 SCHEMA

```

<?xml version="1.0" encoding="UTF-8"?>
<!-- This schema was created by staff of the U.S. Securities and Exchange
Commission. Data and content created by government employees within the scope
of their employment are not subject to domestic copyright protection. 17
U.S.C. 105. -->
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified">
  <xs:annotation>
    <xs:documentation xml:lang="en">Daily Market Data Report, Regulation SE Rule
825(c).</xs:documentation>

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</xs:annotation>
<xs:element name="dailyMarketDataReport" type="DAILY_MARKET_DATA_REPORT_TYPE"/>
<xs:complexType name="DAILY_MARKET_DATA_REPORT_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Document type for a daily market data report.
Regulation SE Rule 825(c).</xs:documentation>
  </xs:annotation>
  <xs:sequence>
    <xs:element name="version" type="VERSION_TYPE">
      <xs:annotation>
        <xs:documentation xml:lang="en">Version of this daily market data report
schema</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="sbsef" type="STRING_SHORT_TYPE">
      <xs:annotation>
        <xs:documentation xml:lang="en">Security-Based Swap Execution Facility (SBSEF)
Name</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="date" type="xs:date">
      <xs:annotation>
        <xs:documentation>Business date of data in the report. Regulation SE Rule 825
(c) (1)</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="generated" type="xs:dateTime" minOccurs="0">
      <xs:annotation>
        <xs:documentation>Date and time the report was generated. Regulation SE Rule 825
(c) (1)</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="sbsTnr" type="SBS_TENOR_TYPE" minOccurs="0" maxOccurs="unbounded">
      <xs:annotation>
        <xs:documentation xml:lang="en">Security-based Swap Name and Tenor. Regulation SE
Rule 825 (c) (1)</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="mtdUsedToDtrmnNmnlPrc" type="STRING_LONG_TYPE">
      <xs:annotation>
        <xs:documentation xml:lang="en">The method used by the SBSEF to determine nominal
prices, up to 5000 characters. Regulation SE Rule 825(c) (2) (i)</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="mtdUsedToDtrmnSttlmPrc" type="STRING_LONG_TYPE">
      <xs:annotation>
        <xs:documentation>The method used by the SBSEF to determine settlement prices, up
to 5000 characters. Regulation SE Rule 825(c) (2) (i)</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:sequence minOccurs="0">
      <xs:element name="dscrtnExpltn" type="STRING_LONG_TYPE">
        <xs:annotation>
          <xs:documentation xml:lang="en">An explanation, up to 5000 characters, that the
SBSEF may use discretion in determining the opening and/or closing ranges or the settlement
prices. Include only if SBSEF uses discretion. Regulation SE Rule
825(c) (2) (ii)</xs:documentation>
        </xs:annotation>
      </xs:element>
      <xs:element name="dscrtnMnnrDesc" type="STRING_LONG_TYPE">
        <xs:annotation>
          <xs:documentation xml:lang="en">A description, up to 5000 characters, of how the
SBSEF may use discretion in determining the opening and/or closing ranges or the settlement

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prices. Include only if SBSEF uses discretion. Regulation SE Rule
825(c)(2)(ii)</xs:documentation>
  </xs:annotation>
</xs:element>
</xs:sequence>
</xs:sequence>
</xs:complexType>
<xs:simpleType name="VERSION_TYPE">
  <xs:restriction base="xs:string">
    <xs:enumeration value="1"/>
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="PRICE_TYPE">
  <xs:restriction base="NONNEGATIVE_DECIMAL_TYPE">
  </xs:restriction>
</xs:simpleType>
<xs:complexType name="SBS_TENOR_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Swap Name and Tenor. Regulation SE Rule 825 (c)(1)
</xs:documentation>
  </xs:annotation>
  <xs:sequence>
    <xs:element name="sbsNm" type="STRING_SHORT_TYPE">
      <xs:annotation>
        <xs:documentation xml:lang="en">Descriptive name of the security-based swap (SBS)
traded. Regulation SE Rule 825 (c)(1)</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="upi" type="UPI_TYPE" minOccurs="0">
      <xs:annotation>
        <xs:documentation xml:lang="en">UPI of the security-based swap (SBS) traded,
optional. Regulation SE Rule 825 (c)(1)</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="tenor" type="xs:duration">
      <xs:annotation>
        <xs:documentation xml:lang="en">The period until expiration of the contract traded
(Tenor) in the ISO 8601 format P#Y#M#D#. Regulation SE Rule 825 (c)(1)</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="ccy" type="CURRENCY_TYPE">
      <xs:annotation>
        <xs:documentation xml:lang="en">For each SBS tenor, the currency in which the price
notional amount (or, for equity SBS, the premium) is quoted. ISO 4217. Regulation SE Rule
825 (c)(1)</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="prcFrmt" type="PRICE_FORMAT_TYPE">
      <xs:annotation>
        <xs:documentation xml:lang="en">For each SBS tenor, whether the prices are quoted
using the "spread (currency)" (SprdCcy) convention, the "spread (decimal)" (SprdDcml)
convention, the "spread (basis points)" (SprdBsisPts) convention, the "bond price
(percentage)" (BdPricPctg), the "premium (currency)" (PrmCcy) convention, the "premium as
percentage of notional" (PrmPctNtnl) convention, or the "fixed rate (decimal)" (FxdRateDcml)
convention. Only these values are allowed. Regulation SE Rule 825 (c)(1).</xs:documentation>
      </xs:annotation>
    </xs:element>
    <xs:element name="trds" type="NONNEGATIVE_INTEGER_TYPE">
      <xs:annotation>
        <xs:documentation xml:lang="en">Number of trades of swap tenor, a whole non-
negative number. Regulation SE Rule 825 (c)(1)(i)</xs:documentation>
      </xs:annotation>
    </xs:element>

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<xs:element name="ttlNtnlAmtTraddUsd" type="NONNEGATIVE_DECIMAL_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Total notional amount traded for each SBS tenor
(should not be zero). Regulation SE Rule 825 (c) (1) (ii)</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="ttlNtnlBlckTrdsAmtTraddUsd" type="NONNEGATIVE_DECIMAL_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Total notional amount traded for each SBS tenor in
block trades (may be zero). Regulation SE Rule 825 (c) (1) (iii)</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="opngPrc" type="PRICE_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Opening price of each SBS tenor. Regulation SE Rule
825 (c) (1) (iv)</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="clsngPrc" type="PRICE_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Closing price of each SBS tenor. Regulation SE Rule
825 (c) (1) (iv)</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="sttlmPrc" type="PRICE_TYPE" minOccurs="0">
  <xs:annotation>
    <xs:documentation xml:lang="en">Settlement price of each SBS tenor, if different
from closing price. Regulation SE Rule 825 (c) (1) (v)</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="lwstPrc" type="PRICE_TYPE" minOccurs="0">
  <xs:annotation>
    <xs:documentation xml:lang="en">The lowest price of a sale or offer, whichever is
lower, that the security-based swap execution facility reasonably determines
accurately reflects market conditions. Regulation SE Rule 825 (c) (1) (vi)</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="lwstPricTyp" type="LOWEST_PRICE_DESC_TYPE" minOccurs="0">
  <xs:annotation>
    <xs:documentation xml:lang="en">Indicate whether the lowest price represents a sale
(S) or offer (O). Regulation SE Rule 825 (c) (1) (vi)</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="hgstPrc" type="PRICE_TYPE" minOccurs="0">
  <xs:annotation>
    <xs:documentation xml:lang="en">The highest price of a sale or bid, whichever is
higher, that the security-based swap execution facility reasonably determines
accurately reflects market conditions. Regulation SE Rule 825 (c) (1) (vi)</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="hgstPricTyp" type="HIGHEST_PRICE_DESC_TYPE" minOccurs="0">
  <xs:annotation>
    <xs:documentation xml:lang="en">Indicate whether the highest price represents a
sale (S) or bid (B). Regulation SE Rule 825 (c) (1) (vi)</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:sequence minOccurs="0">
  <xs:element name="dscrtnryAuthrtyApld" type="YN_TYPE" fixed="Y">
    <xs:annotation>
      <xs:documentation>
        Y indicating that SBSEF used discretion in determining this price.
        To be included for each price listed for each SBS tenor.
        Regulation SE Rule 825 (c) (2) (ii)</xs:documentation>
      </xs:annotation>
    </xs:element>
  </xs:sequence>

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    </xs:annotation>
  </xs:element>
  <xs:element name="dsctrnryAuthrtyApldFntnt" type="STRING_SHORT_TYPE">
    <xs:annotation>
      <xs:documentation>Footnote corresponding to "Y" indications that SBSEF used
discretion in determining this price. SBSEF may use asterisk rather than footnote. Regulation
SE Rule 825(c) (2) (ii)</xs:documentation>
    </xs:annotation>
  </xs:element>
</xs:sequence>
</xs:complexType>
<xs:simpleType name="UPI_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">ISO 4914 Unique Product Identifier (UPI), exactly 12
digits or upper case letters.</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:pattern value="[0-9A-Z]{12}" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="CURRENCY_TYPE">
  <xs:restriction base="xs:string">
    <xs:pattern value="[A-Z]{3}" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="PRICE_FORMAT_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Convention used for price quotes.</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:enumeration value="SprdCcy">
      <xs:annotation>
        <xs:documentation>spread (currency)</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
    <xs:enumeration value="SprdDcml">
      <xs:annotation>
        <xs:documentation>spread (decimal)</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
    <xs:enumeration value="SprdBsisPts">
      <xs:annotation>
        <xs:documentation>spread (basis points)</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
    <xs:enumeration value="BdPricPctg">
      <xs:annotation>
        <xs:documentation>bond price (percentage)</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
    <xs:enumeration value="PrmCcy">
      <xs:annotation>
        <xs:documentation>premium (currency)</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
    <xs:enumeration value="PrmPctNtnl">
      <xs:annotation>
        <xs:documentation>premium as percentage of notional</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
    <xs:enumeration value="FxdRateDcml">
      <xs:annotation>

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        <xs:documentation>fixed rate (decimal)</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="NONNEGATIVE_INTEGER_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Nonnegative Integer</xs:documentation>
  </xs:annotation>
  <xs:union memberTypes="xs:nonNegativeInteger"/>
</xs:simpleType>
<xs:simpleType name="NONNEGATIVE_DECIMAL_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Nonnegative Decimal number of any size or decimal
places</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:decimal">
    <xs:minInclusive value="0.0"/>
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="LOWEST_PRICE_DESC_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Indicate whether ther lowest price represents a S
(sale) or O (offer). Regulation SE Rule 825(c) (1) (vi)</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:enumeration value="S">
      <xs:annotation>
        <xs:documentation xml:lang="en">Sale</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
    <xs:enumeration value="O">
      <xs:annotation>
        <xs:documentation xml:lang="en">Offer</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="HIGHEST_PRICE_DESC_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Indicate whether the highest price represents a S
(sale) or B (bid). Regulation SE Rule 825(c) (1) (vi)</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:enumeration value="S">
      <xs:annotation>
        <xs:documentation xml:lang="en">Sale</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
    <xs:enumeration value="B">
      <xs:annotation>
        <xs:documentation xml:lang="en">Bid</xs:documentation>
      </xs:annotation>
    </xs:enumeration>
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="YN_TYPE">
  <xs:annotation>
    <xs:documentation xml:lang="en">Y or N indicating Yes or No</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:enumeration value="Y"/>
    <xs:enumeration value="N"/>
  </xs:restriction>
</xs:simpleType>

```

```

    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="STRING_SHORT_TYPE">
    <xs:annotation>
      <xs:documentation xml:lang="en">A short text string of 1 to 100
characters.</xs:documentation>
    </xs:annotation>
    <xs:restriction base="xs:string">
      <xs:minLength value="1"/>
      <xs:maxLength value="100"/>
    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="STRING_LONG_TYPE">
    <xs:annotation>
      <xs:documentation xml:lang="en">A long text string of 1 to 5000
characters.</xs:documentation>
    </xs:annotation>
    <xs:restriction base="xs:string">
      <xs:minLength value="1"/>
      <xs:maxLength value="5000"/>
    </xs:restriction>
  </xs:simpleType>
</xs:schema>

```