Certification Participants

LOPR SAIL Certification Manual for MX-R

CERT-MR-001E
Document Revision: 1.0
Date of Issue: 2011-03-01

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CERT-MR-001E, Document Version 1.0

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Document History

Version.	Date	Change Description
1.0	2011-03-01	Initial Version

Document Notes

Date.	Description

Typographic Conventions

Convention	Meaning
Abbreviated menu commands	This document uses abbreviated menu. For example, “Click **Display > Toolbars > Standard**” means that you should click the **Display** menu, point to **Toolbars**, and click the **Standard** entry.
Boldface type	**Boldface** type is used for commands, keywords, file names URLs, or other information that you must use literally. Name of windows, dialogs, and other controls also appear in boldface type.
Initial Capital Letters	The first letter of the names of menus, dialog boxes, dialog box elements, and commands are capitalized.
<Text in angle brackets>	Angle brackets are used for variables and values that you must provide.
Emphasized type	**Emphasized** type is used for words and phrases that need to be emphasized, as for new terms defined in the text. Italicized type is also used for foreign languages terms.
`Monospace`	Code and script examples appear in a `monospace` font.
Plus sign in text	Keyboard shortcuts are indicated by a plus sign separating key names. For example, **Ctrl+F1** means that you must press the **Ctrl** and **F1** keys at the same time.

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Chapter 1 Introduction

The purpose of this manual is to describe the procedure for Approved Participants (AP) and Foreign Approved Participants (FAP) to be certified to access LOPR MX-R using the SAIL protocol.

The certification procedure consists of various test cases prepared specifically for LOPR MX-R that are contained in the CERT-MR-002E MX-R LOPR SAIL Test Cases document.

Note: Prior to the certification procedure, the F/AP must complete a series of test cases as outlined in the CERT-01-002E SOLA Connection Test Cases document.

F/AP with a proprietary system planning to access LOPR MX-R via SAIL protocol must successfully complete all mandatory test cases.

The certification procedure is intended to demonstrate that the mandatory reporting messages sent by F/AP can be successfully processed by the LOPR MX-R system and that the F/AP computer program constitutes a reliable method of communication between itself and the MX-R system. The procedure is not intended to and will not certify the F/AP handling and processing of LOPR MX-R outgoing messages, which remains the responsibility of the AP/FAP.

For ease of use, in the Certification documentation, the words F/AP are used to represent MX Approved Participants and Foreign Approved Participants.

Chapter 2 Certification Procedure

This section of the document describes the certification procedure and rules as well as the resources and infrastructure needed to perform the certification.

2.1 Rules

- Certification applies to F/APcomputer applications for accessing the LOPR MX-R electronic reporting system (not the Participant itself).
- Participants must perform all of the certification test cases included in the current procedure.
- MX-R has the right to declare a Participant as certified or not according to global results of the present certification procedure.
- MX-R has the right to ask a Participant to re-certify their computer application.
- MX-R is not responsible for the behavior of the client site system.
- The certification process must be executed with the SAIL version supported by MX-R at the time of the execution of the test.
- Participants who are certified once are not automatically considered to be certified for any subsequent SAIL versions.
- The certification procedure and rules are subject to change at MX-R's discretion without prior notice.
- The Participant's computer application version used during the certification procedure is the one known as being "certified".
- Unless specified, test cases must be executed in the order they appear in the certification kit.
- For new SAIL versions, MX-R reserves the right to request a re-certification.

2.2 Resources

The certification procedure is composed of 16 test cases, and the prerequisite 6 SOLA Connection test cases. Estimated completion time for all tests is approximately 1½ hours, depending on how many functions are covered, and the readiness of the participant. Execution of all certification test cases must be done with the collaboration of the MX-R Staff Test Team. Both parties must schedule enough time in order to accomplish all test cases in one attempt during the same day.

2.3 Settings and Configuration

Prior to the certification process, the registration and configuration of the F/AP test environment must be completed, and have the following information and settings established in their test infrastructure.

Table 1 – Incoming and Outgoing Messages

SAIL Access
Physical line and network access
MX-R Server legal address
MX-R Server ports
Connection ID (HUB Subscriber ID)
Connection Password
F/AP ID

2.4 Certification Environment

The certification procedure is not performed in the MX-R production environment. MX-R is responsible for choosing the appropriate environment.

Chapter 3 Test Cases Structure

Test cases represent the core of the procedure. A test case template and its structure are presented below.

Table 2 – Test Case Template Structure

Type:	**ID #:**	**Requirement:**
Description:		
Comments:		
Prerequisites		
None		
Step	**Input Specifications**	**Expected Results SOLA LOPR Responses (SAIL)**
1		

Type:	Determines the functional area that the test case belongs to.
ID #:	Unique identifier composed of the case mnemonic followed by a two digit sequential number. (Example: ORD-01)
Requirement:	Indicates if the test case is optional or mandatory.
Description:	Brief description of the test case. This description is used in all follow up and status reports; care should be taken in making it meaningful and significant to all.
Comments:	Comments to complement the execution of the test case.
Prerequisites:	Indicates specific actions that need to be executed before performing this test case or any state that needs to be set. It might include the successful execution of other test cases and/or the scenario. Actions may have to be performed by MX-R personnel.
Input Specifications:	Details of the steps to be followed during test execution. These steps, unless specified, are performed by the participant. The [grey italic] character format represents the SAIL description of the test case as opposed to the business description written in [regular black] normal style.
Expected Results:	Provides detailed information on the result that should be obtained using the described scenario. The [grey italic] character format represents the SAIL description of the test case as opposed to the business description written in [regular black] normal style.

Chapter 4 Certification Test Cases

4.1 SOLA Connection Test Cases

The table below outlines the connection test cases that are described in the CERT-01-002E SOLA Connection Test Cases document.

Case ID	Description	Required
TEC-01	Establishing a SAIL connection.	Y
TEC-02	Terminating a SAIL session	Y
TEC-03	Establishing a SAIL connection – Retransmission from next message	Y
TEC-04	Establishing a SAIL connection – Retransmission from specific message	Y
TEC-05	Re-synchronisation from out of sequence situation	Y
TEC-06	End of Transmission	Y

4.2 SAIL LOPR Certification Test Cases

The table below outlines the certification test cases that are described in the CERT-MR-002E MX-R LOPR SAIL Test Cases document.

Case ID	Description	Required
LOP-01	Establishing a SAIL connection of a reporting session with all LOPR messages types to be received.	Y
ACM-01	Client sends an account entry message	Y
ACM-02	Client sends an account update message	Y
ACM-03	Client sends an account entry message with an empty account number	Y
ACM-04	Client sends an account deletion message with an existing account number	Y
ACM-05	Client sends an account deletion message with a non-existing account number	Y
ACM-06	MX-R operator creates an account on behalf of the participant	Y
ACM-07	MX-R operator updates an account on behalf of participant	Y
ACM-08	MX-R operator deletes an account on behalf of participant	Y
POM-01	Client sends an position entry message	Y

Case ID	Description	Required
POM-02	Client sends a position update message	Y
POM-03	Client sends an invalid position entry message.	Y
POM-04	Client sends an position deletion message with an existing account number	Y
POM-05	Client sends an position message for a product created intraday	Y
POM-06	Client disconnects and reconnects	Y
POM-07	Client sends an end of position transmission message	Y

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