CHESS EXTERNAL TESTING GUIDELINES FOR mFUND SETTLEMENT PARTICIPANTS

User Acceptance Testing (UAT)

AUSTRALIAN SECURITIES EXCHANGE

NOVEMBER 2018

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General Information

Overview

The External User Testing Environment has been designed to enable users to create and test scenarios that occur in Production.

Test kits are provided with more than one PID to enable users to act as their own counterparty, and therefore complete test scenarios internally. Additionally, an Automatic Turnaround Processor is available for dual entry messages (refer to page 7)

All testing should be undertaken in conjunction with referencing the External Interface Specification (EIS) manual and the ASX Settlement Procedure Guidelines (APG). These manuals are available via www.asxonline.com.

This document is designed to provide details specific to the External User Testing Environment where usage may differ to Production and therefore will not be included in the EIS and APG.

CHESS 10 mFund enhancements 2018

This document has been updated to include enhancements relating to CHESS 10. The updates were live from Monday 12 November 2018.

Link to project website

https://www.asxonline.com/content/asxonline/public/landing-pages/CHESS_10.html

Contact Details

To request support please email chesshelp@asx.com.au or contact ASX Post Trade Operations on 1800 814 051. Please include the word "mFund TESTING – AIC XXXXX" in your email subject.

Support and System Availability

The system is available from 08.30 to 23.55(Sydney time)

Support is available from 09.00 to 17.00 (Sydney time) business days.

Note, processing of requests will be on a best endeavours basis

Settlement Process / End of Day (EOD) Process

Settlement process commences at 12.00

EOD commences at 23.59.

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Test Kit Maintenance

A reset will remove the following from your test kit:

- holdings
- outstanding obligations

To request a reset please email chesshelp@asx.com.au.

Please note that users are requested to only use issuer/security codes and PIDs within their test kit. This will be monitored by system support. This will ensure the test kits can be reset more efficiently and successfully.

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Connectivity

Network Details

Refer to allocated test kit document for confirmation of CHESS test UIC and Port number assigned to your test kit.

The test kit document will provide one of the following CHESS UIC and Port numbers.

UAT XP1 CHESS Test UIC: 00044 Port: 4207

UAT XP2 CHESS Test UIC: 00040 Port: 4210

RTE CHESS Test UIC: 00044 Port: 4206 (CHESS Release Environment)

IP Address:

Optus 203.202.049.019

Radianz 206.190.104.215

ASXiVPN 203.006.252.010

Telstra 029.008.001.003

Encryption / Security Keys

Encryption is not required in the External User Testing Environment. Each test kit will allow users to connect with or without encryption. To test with encryption, the below listed security keys should be utilised.

Type 1 Keys		**KVC**
Shipping Key	774E 1195 C539 93F5 CF09 28D1 909F 5F6F	6D80E2
MKX	B368 05F0 7581 D2E1 3C5A 4DBB 73EF 1268	8CB175
MKY	EB93 9A5B 8E23 7EC5 95E7 8410 E9D1 839F	8D5651

Type 2 Keys

Shipping Key

part 1	C280 912A 20DA 1375 68B5 0E4A 0485 F8D0	255AF8
part 2	B5CE 80BF E5E3 8080 A7BC 269B 941A A7BF	184929
MKX	B368 05F0 7581 D2E1 3C5A 4DBB 73EF 1268	8CB175
MKY	EB93 9A5B 8E23 7EC5 95E7 8410 E9D1 839F	8D5651

Type 3 Keys –

Shipping Key

part 1	C280 912A 20DA 1375 68B5 0E4A 0485 F8D0	255AF8
part 2	B5CE 80BF E5E3 8080 A7BC 269B 941A A7BF	184929
MKX	39BF 9149 2392 A36B 0DFA EABC 2632 FAB3	
MKY	155B 9098 D000 A1E4 83AB B626 385C 532E	

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Test Kit Setup

Test Kit Detail

Test kit details are supplied in a separate document at the time of test kit creation and include:

- AIC – Access Identification Code
- PID's – Participant Identification Codes
- Issuer and Security codes
- Default Payment Entrepot HINs
- Payment Facilities
- Network details

Setup Requirements

To start mFund testing you will require mFund testing capability. To arrange to use an existing test kit and have one of the PID's converted to an mFund ready PID or to have a new mFund test kit allocated please send an email to chesshelp@asx.com.au with mFund testing in the subject heading.

These components may be part of an existing test kit (with a PID converted to mFund) or a new mFund test kit.

- mFund Participant PID
- mFund security code
- All Payment facilities and HINs associated with them will be provided by CHESSHELP automatically in your test kit.

To begin mFund testing

- Create Sponsored HIN's to emulate client HINs – Refer to section 5 of the APG for the procedure on creating a HIN

https://www.asxonline.com/intradoc-cgi/groups/clearing_and_settlement/documents/manuals/asx015345.pdf

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Message Testing

Message Responses

Messages are responded to the same way as production, i.e. the same applications are used to process responses.

Participant Testing

In the situations where third parties are required to complete a transaction, additional processors exist to simulate these parties. Refer to automatic processor information below.

Automatic Turnaround Processor

The **Automatic Turnaround Processor** enables users to conduct one-sided testing in relation to dual entry message testing i.e. CHESS will respond on behalf of the counterparty.

Settlement Participant mFund PIDs are assigned to the Automatic Turnaround Processor

Notification of Changes to CHESS Settlement Cut-Off

CHESS Event Notification (542) message provides information to the change of settlement cut-off times. These messages can be arranged upon request by emailing CHESShelp@asx.com.au.

All Participants will receive 542 messages in the event of change to settlement cut-off notification request.

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Applications

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Application testing can be executed two ways;

1. Using the **CHESS Turnaround processor**. This will allow you to receive automatically generated message outputs eg: Acceptance or Rejections. Simply follow the ranges in the Automatic Turnaround Processor tables below. No intervention from PT Ops is required.

2. **Manual responses**. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed.

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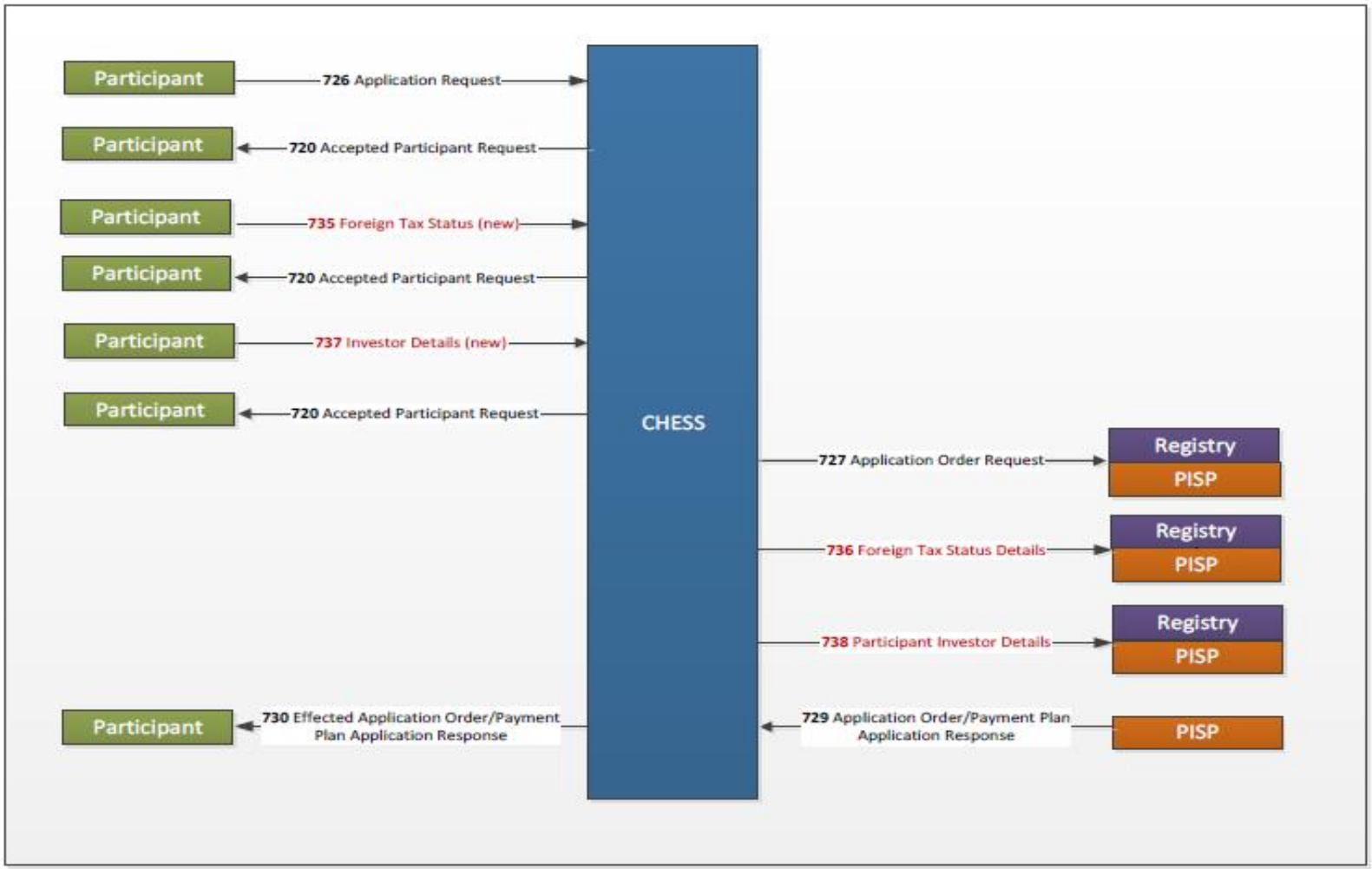
Application Process

The following section describes the message suite relating to the processing of Initial and Subsequent application transactions.



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Application Matrix: Initial / Subsequent

Initial Application Request

Where an investor submits an mFund application requiest for a particular mFund product for the first time or where a holding is moving from zero units, this constitutes an 'Initial' application. For an Initial Application the **matching MT735 Foreign Tax Status and MT737 Investor Details message will need to be sent with linking transaction ID of the MT726 Initial Application message.**

Subsequent Application Request

Subsequent requests for units in the same fund do not require the same level of detail.

726 Application Message		
Field Name	**Initial Application**	**Subsequent Application**
Fund Code	M	M
Fund Amount	M	M
HIN	M if broker sponsored	M if broker sponsored
Transaction ID	M	M
AML/CTF Flag	M	M
Current PDS Provided	M	M
PDS Issue Date	M	M
Initial Application	M must be 'Y'	M must be 'N'
Note	Must be accompanied by: • MT735 Foreign Tax Status • MT737 Investor Details	

Incomplete Request Cancellation MT740

CHESS will only forward an 'Initial' application or transfer request through to the PISP where all 3 messages in the set have been provided and have passed CHESS validation. For instances where all 3 messages in the set are not provided, CHESS will hold the received messages for **5 Business Days** before cancelling the request. On the morning of **6th business day the requesting Participant will be notified by MT740**. The Origin Transaction ID will be the linking transaction ID.

Message No	Trigger Field Name	Sender	Recipient
740	Cancelled Fund Request	CHESS	Participant

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Application testing using Automatic Turnaround Processor

	Trigger Field Name	Trigger	Input Message	Resulting Message	Value
Application Rejected by PISP	Fund Amount	Odd	726	730	"R" – Rejected Initial Application = N (Subsequent) Initial Application = Y (initial) must separately send MT735 & MT737 with linking transaction ID of MT726.
Application Accepted by PISP; Settlement Completed (payment) Allotment Completed	Fund Amount	Even and < = 10K	726	730/731 156 733	Transaction status must be "A" accepted. Initial Application = N (Subsequent) Initial Application = Y (initial) must separately send MT735 & MT737 with linking transaction ID of MT726. Default Units = 100480000 Pricing date and unit allotment date set to current date if settlement cut-off not reached, otherwise pricing date and unit allotment date should be next business day.
Application Accepted by PISP; Settlement Completed (payment) Reminder sent Allotment complete	Fund Amount	10002.00	726	730 /731 156 812 733	Transaction status must be "A" accepted. Next Settlement Cycle Default units 200480000
Cancelled Fund Request for Initial Application	Fund Amount	Even and < = 10K	726	720 740	Transaction Status must be "A" Initial Application = Y Do not send MT735 or MT737

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MT812 Reminder Notice generates on the 2nd Business day post sending MT726

MT740 Cancelled Fund Request will generated
In RTE environment: 1 business day after initial application or CHESS to CHESS transfer has been received.
In UAT environment: Morning of 6th business day after initial application or CHESS to CHESS transfer has been received. (Day 1 is the date the initial application or transfer request has been received by CHESS).

Unit Price is only sent on the second MT729 when there is a reminder notice MT812.
Example;

1. *MT726 is sent with fund amount = <=10K it will only send 1 MT729 with the price date*
2. *MT726 is sent with fund amount = 10002.00 it will send the 1st MT729 with only the price date and when the Turnaround receives the MT812 it will send the second MT729 with the unit price*

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Initial and Subsequent Application Testing, requiring PTOps response

Users completing Application testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to CHESSHELP with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to CHESSHELP for each test.
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.

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Redemptions

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Redemption testing can be executed two ways;

1. Using the **CHESS turnaround processor**. This will allow you two receive automatically generated message outputs e.g: Acceptance or Rejections. Simply follow the ranges in the Automatic Turnaround Processor tables below. No intervention from PTOps is required.

2. **Manual responses**. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed.

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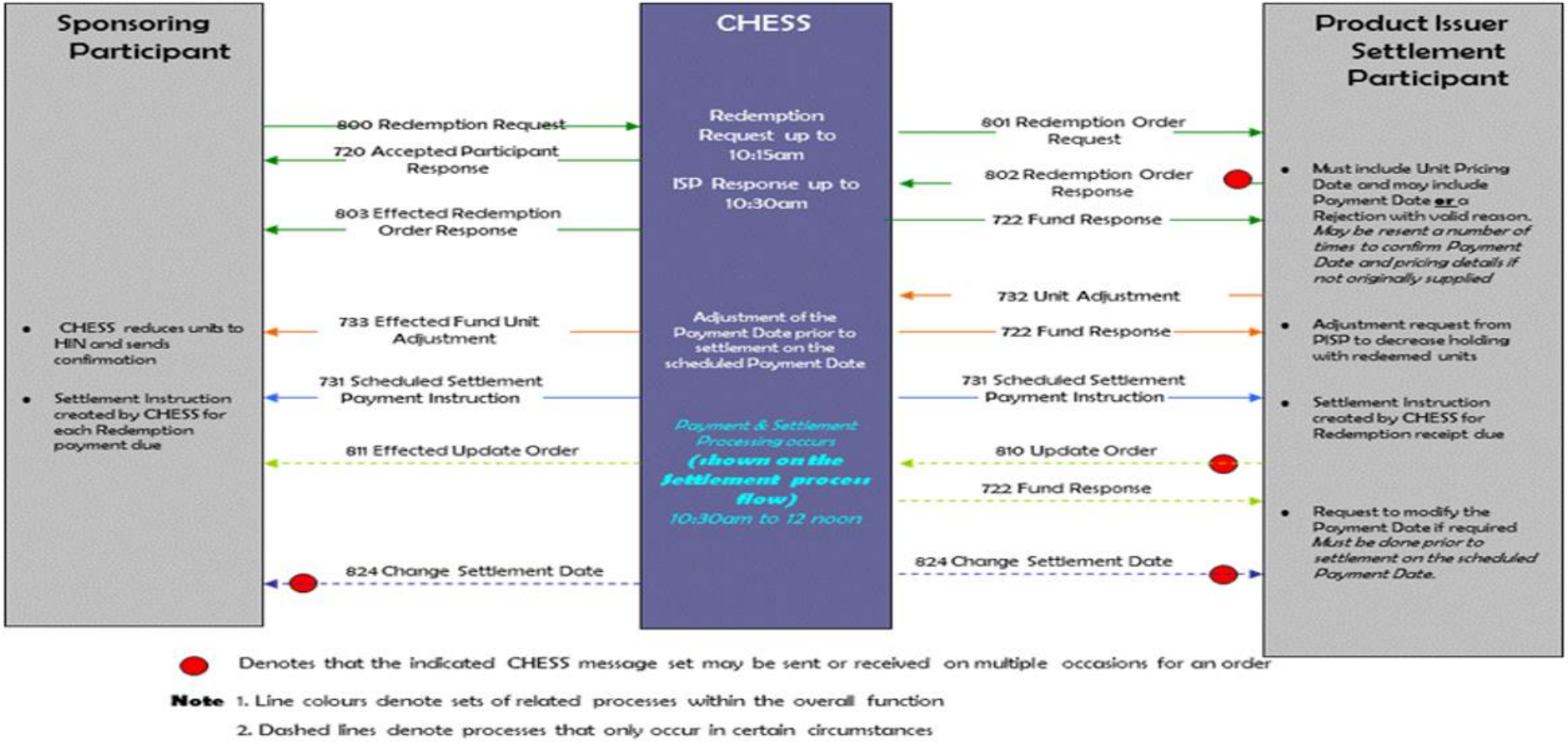
The Redemption Process

The following section describes the message suite relating to the processing of redemption transactions. The diagrams show the message interactions between the participants involved. Additionally, the data within each message is shown and the mandatory – optional attribute is highlighted.



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Redemption testing ranges using the Automatic Turnaround Processor

	Trigger Field Name	Trigger	Input Message	Resulting Message	Value
Redemption Rejected by PISP	Number of Units	Even and <51	800	803	"R: - Rejected
Redemption on Hold by PISP	Number of Units	Odd	800	803	"H" – Transaction status Hold "FCR" Reason Code Fund Closed.
Redemption Accepted by PISP; **Settlement Completed (payment)** **Redeem Units Completed**	Number of Units	Even and >51	800	803 156 733	"A" – Accepted for 15K Next Settlement Cycle Same as units in 800 msg

Participant Cancel Request Redemption using the Automatic Turnaround Processor

	Trigger Field Name	Trigger	Input Message	Resulting Message	Value
Cancellation Rejected by PISP	Units	Odd and < 51 Note: Target Transaction id equals Redemption / Switch Request	804	811	"R" - Rejected
Cancellation Accepted by PISP	Units	Odd and > 51 Note: Target Transaction id equals Redemption / Switch Request	804	811	"A" - Accepted

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Redemption Testing, requires PTOps response

Users completing Redemption testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to CHESSHELP with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to CHESSHELP for each test
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.

The parameters for Full and Partial redemption rules are provided here;

Full Redemption	Specific Fund Amount	Specific Number of Units
Y	Not populated	Not populated
N	Y	N
N	N	Y

The processing rules are as follows;

Full Redemption	Fund Amount	Number of Units	CHESS Accept or Reject
Y	Y	Y	Reject
Y	N	Y	Reject
Y	Y	N	Reject
Y	Not populated	Not populated	Accept
N	Y	Y	Reject
N	N	N	Reject
N	Y	N	Accept
N	N	Y	Accept

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Switch of Funds

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Switch Testing can be executed in two ways;

1. Using the **CHESS turnaround processor**. This will allow you two receive automatically generated message outputs e.g: Acceptance or Rejections. Simply follow the ranges in the Automatic Turnaround Processor tables below. No intervention from PTOps is required.

2. **Manual responses**. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed

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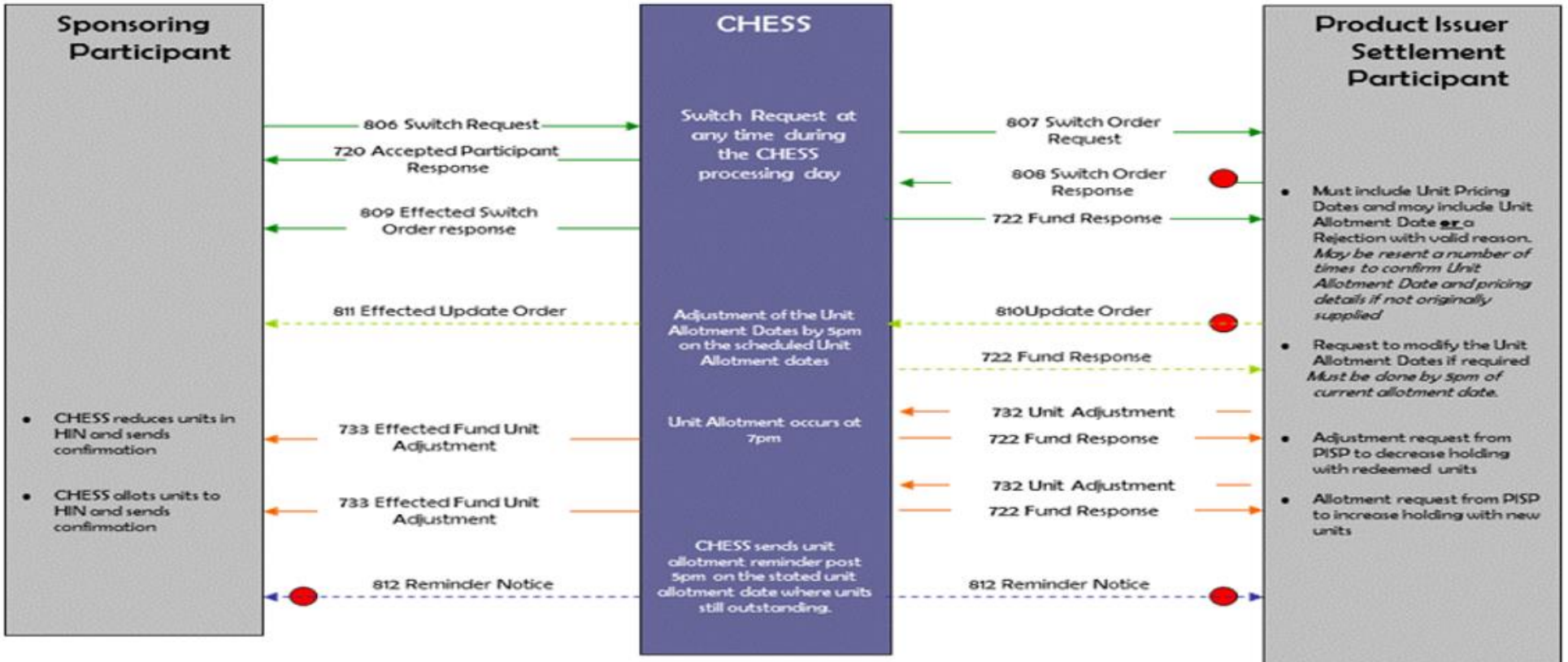
The Switch Process

The following section describes the message suite relating to the processing of switch transactions. The diagrams show the message interactions between the participants involved. Additionally the data within each message is shown and the mandatory – optional attribute is highlighted.



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Switch testing using Automatic Turnaround Processor

	Trigger Field Name	Trigger	Input Message	Resulting Message	Value
Switch Rejected by PISP	Number of units	Even and <51	806	809	"R" - Rejected
Switch on HOLD by PISP	Number of units	Odd If wishing to cancel on hold switch use odd units < or >51 in line with trigger for cancellation in table below	806	809	"H" – Transaction Status HOLD "FCR" – Reason Code Fund Closed
Switch Accepted by PISP; **Redeem Units Complete**	Number of units	Even and >51	806	809 732 (redeem) 732 (allot)	"A" – Accepted Same as units in 800msg Same as units in 800msg

Participant Cancel Request Switch using Automatic Turnaround Processor

	Trigger Field Name	Trigger	Input Message	Resulting Message	Value
Cancellation Rejected by PISP	Units	Odd and < 51 Note: Target Transaction id equals Redemption / Switch Request	804	811	"R" -Rejected
Fund to CHESS Transfer Rejection	Units	Odd and > 51 Note: Target Transaction id equals Redemption / Switch Request	804	811	"A" – Accepted

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Switch testing that requires PTOps response

Users completing Switch testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to PTOps with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to PTOps for each test
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.

The parameters for a Switch message rules are provided here;

Full Redemption	Specific Fund Amount	Specific Number of Units
Y	Not populated	Not populated
N	Y	N
N	N	Y

The processing rules are as follows;

Full Redemption	Specific Fund Amount	Specific Units Redeemed	CHESS Accept or Reject
Y	Y	Y	Reject
Y	N	Y	Reject
Y	Y	N	Reject
Y	Not populated	Not populated	Accept
N	Y	Y	Reject
N	N	N	Reject
N	Y	N	Accept
N	N	Y	Accept

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Order Maintenance

Order Maintenance testing can be executed two ways;

1. Using the **CHESS turnaround processor**. This will allow you two receive automatically generated message outputs e.g: Acceptance or Rejections. Simply follow the ranges in the Automatic Turnaround Processor tables below. No intervention from PTOps is required. Refer to tables in previous sections for some Order Maintenance turnaround processing all other message responses will require manual response requests.

2. **Manual responses**. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed.

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Cancellation of Order

For a Cancellation of Order request please use the Automatic Turnaround processor (see above sections for cancellations) or email chesshelp@asx.com.au and advise the details of the order you wish to be cancelled. The details are;

- PID
- The Target Transaction Id – (Original Transaction Id of Application, Redemption or Switch)
- The Order Type – APP (Application), RED (Redemption) and SWI (Switch)
- The Unit Allotment Date and Payment Date may also be included if required.

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Cancellation of an 'On Hold' Redemption or Switch Order

For a Cancellation of an 'On Hold' redemption or switch please use the Automatic Turnaround processor (see above sections for on hold cancellations) ensure you use or email chesshelp@asx.com.au

You can only receive this response if you have a Redemption or Switch on hold at the time of the request.

Please provide details of the Target Transaction Id (Original Transaction Id of Redemption or Switch on hold to cancel).

Update Order Unit Allotment Date / Payment Date

For an Update of the Order Unit Allotment Date or Payment Date please email chesshelp@asx.com.au and advise the details of the Order you wish to update.

The details should include;

- PID
- The Target Transaction Id - (Original Transaction Id of Application, Redemption or Switch)
- The Order Type – APP (Application), RED (Redemption) and SWI (Switch)
- The Revised Unit Allotment Date and or Revised Payment Date

Miscellaneous Adjustment

The Miscellaneous Adjustment is not applicable for Issuer Sponsored Holdings. For a Miscellaneous Adjustment please email chesshelp@asx.com.au and advise the following details;

- Fund Code
- HIN
- PID
- Increase or Decrease
- Adjustment Units – How many units to be adjusted.

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Order Reversal

For Order Reversal requests please email chesshelp@asx.com.au and advise the details of the order you wish to be reversed. The details to be included must be for both the Reversal and Reapplication. The details are;

- Fund Code
- HIN or SRN
- PID
- Original Transaction Id
- Unit Price
- Order Type – APP (Application), RED (Redemption) or SWI (Switch)
- Units
- Pricing Date

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Corporate Actions

Corporate Action testing can only be achieved by emailing chesshelp@asx.com.au and requesting either a Distribution or Payment Plan. There is no automatic turnaround processor that simulates corporate actions.

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

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Distribution Reinvestment Plan

A Distribution Reinvestment Plan is a mechanism whereby product issuers ask their investors whether they would like to participate. Under these plans, investors can choose to use their cash distribution payment to acquire additional units in a Trust or Fund instead of receiving a cash payment.

Unit holders may also be offered the ability elect to reinvest part or all of their cash payment and DRP units are usually issued at a discount.

Dividend reinvestment plan testing can be executed two ways;

1. Using the **CHESS turnaround processor**. This will allow you two receive automatically generated message outputs e.g: Acceptance or Rejections. Simply follow the ranges in the Automatic Turnaround Processor tables below. No intervention from PTOps is required.

2. **Manual responses** for DRP Election testing may be conducted by asking PTOps to disable the Automatic Turnaround Processor in order for you to submit messages and receive a tailored response. You will need to ensure that you contact PTOps by email chesshelp@asx.com and state that you, or your organisation, wish to perform tailored testing with custom responses. Your request must include a test summary, indicative timeframe, and expected volumes in order for PTOps to determine any necessary resourcing.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed.

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.7
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

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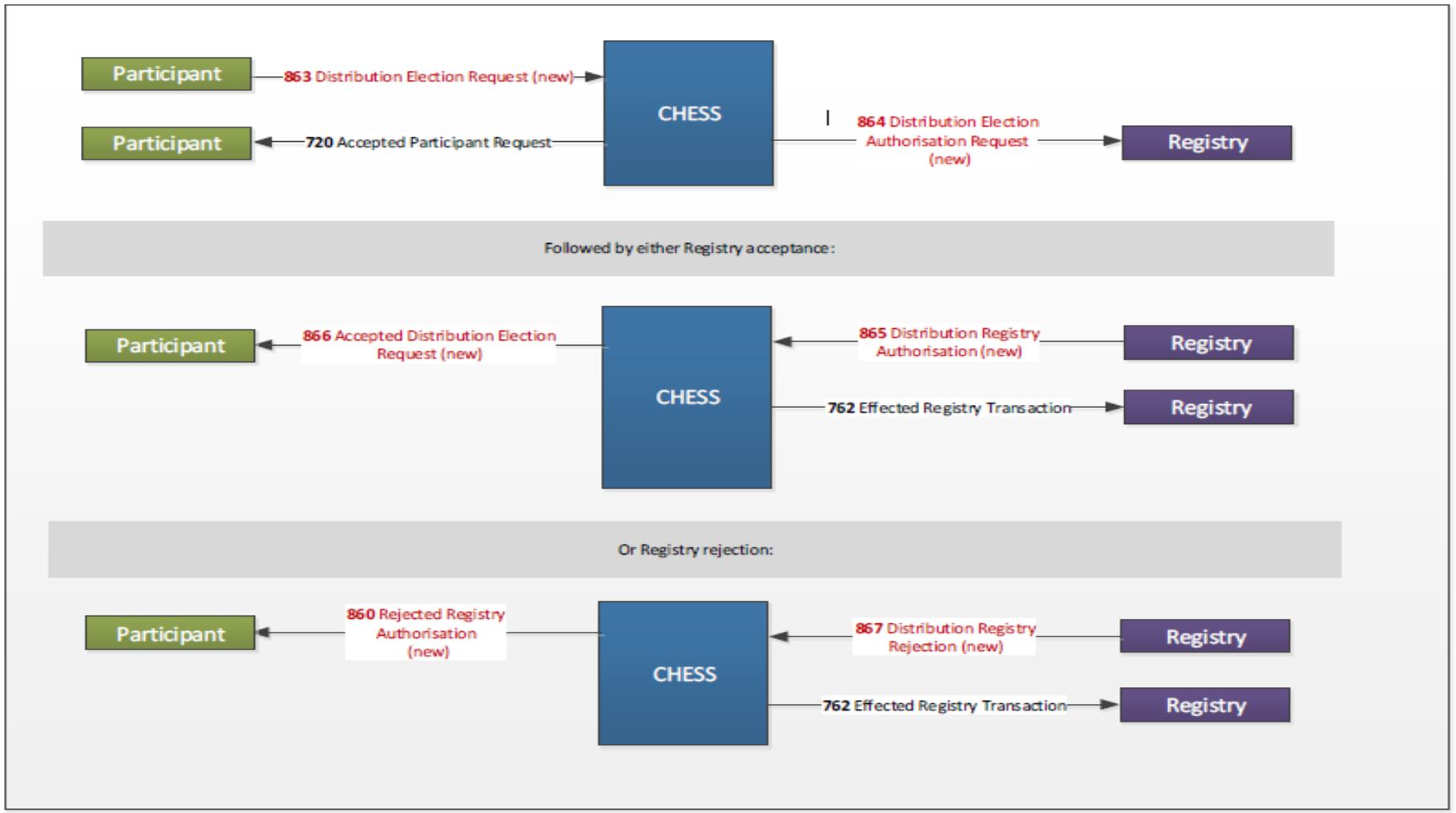
Message Flow - the following diagram details DRP message flows:



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The following tables show valid DRP election preference combinations, all other combinations will be rejected:

Holder DRP Preference	DRP Units Participating	Bank Details
F (full)	Not applicable	Not applicable
P (partial)	Mandatory	Mandatory
N (cash)	Not applicable	Mandatory

Distribution Reinvestment Plan testing using Automatic Turnaround Processor

The automatic turnaround processor for MT863 – DRP Election Authorisation Request messages will provide a positive response (MT866 – Accepted DRP Election Request) for valid messages **or** a negative response (MT860 – Rejected Registry Authorisation) if the APIR Code within the MT864 message is populated with the word 'REJECT'. If the 'Holder DRP Preference' field within the MT864 message that is intended to be rejected is also populated with a space then a rejected registry reason of 'B' will be applied. Otherwise a rejected registry reason of 'A' will be applied.

Action	Trigger Field	Trigger	Input Message	Return Message	Value
PISP Rejection of DRP Election Authorisation Request	APIR Code	'Reject'	MT863	MT866	If MT864 'Holder DRP Preference' field is populated with a space then a rejected registry reason 'B' will be applied. Otherwise a rejected registry reason 'A' will apply

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Income Statement Selection Annual and Periodic

Participants can request a Periodic Income Statement and or an Annual Income Statement for a specific HIN by sending an MT869 Income Statement Request with Income Statement Report Type either A = Annual or P = Periodic.

Where a periodic or annual income statement is requested, only the last distribution payment details or last end of financial year summary distribution information will be made available to the Settlement Payment of the Registry.

Periodic Income Statement

A Settlement Participant may select to have a Periodic Income statement as a regular standing report (applies to periodic only).

It should be noted that a Settlement Participant only has the ability to cancel a standing Periodic Income Statement report. On demand report requests cannot be cancelled by a Settlement Participant.

Annual and Periodic Income Statement testing can be executed two ways;

1. Income Statement testing in relation to Periodic and or Annual Income Statements may be conducted by using the **Automatic Turnaround Processer** which will allow you to receive automatic message outputs (e.g. Acceptance or Rejection)

2. **Manual responses** for Periodic or Annual Income Statement Selection testing may be conducted by asking PTOps to disable the Automatic Turnaround Processor in order for you to submit messages and receive a tailored response. You will need to ensure that you contact PTOps by email chesshelp@asx.com and state that you, or your organisation, wish to perform tailored testing with custom responses. Your request must include a test summary, indicative timeframe, and expected volumes in order for PTOps to determine any necessary resourcing.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed.

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.7
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

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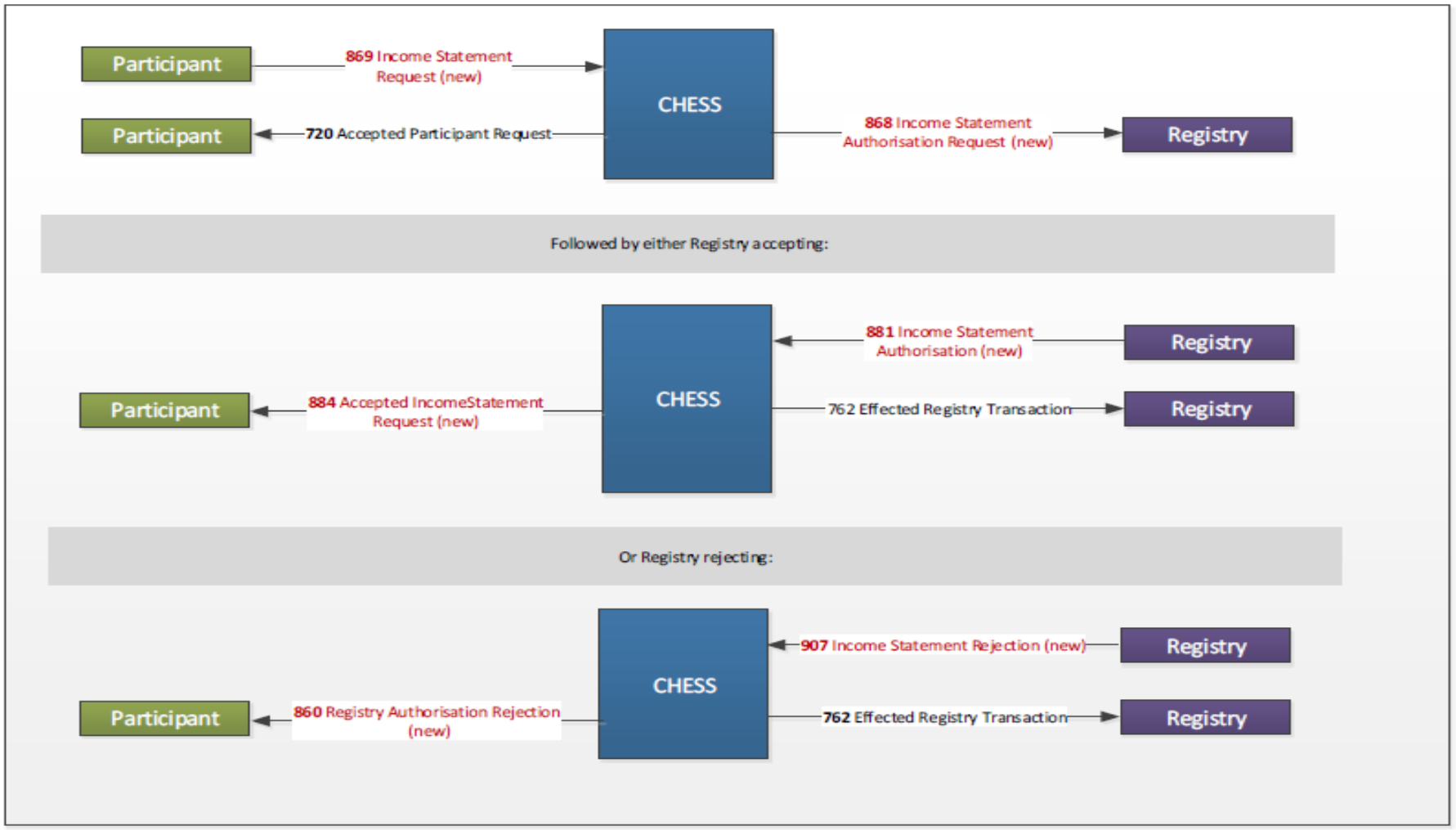
Message Flow - the following diagram details for an Income Statement message flow for both Annual and Periodic :

Please note that the end messages are not listed in the below diagram. Refer to EIS Guidelines section 5



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The following table shows the valid combinations for an MT869 Income Statement request, all other combinations will be rejected

Income Statement Report Type	Income Statement Report Frequency	Income Statement Cancellation
A (Annual)	A (on demand)	space
P (Periodic)	A (on demand) or S (standing)	space
P (Periodic)	space	Y

Income Statement Request testing using Automatic Turnaround Processor

The automatic turnaround processor for *MT869 – Income Statement Request* messages will provide a positive response (MT884 – Accepted Income Statement Request) for valid messages **or** a negative response (MT860 – Rejected Registry Authorisation) if the APIR Code within the MT869 message is populated with the word 'REJECT'. If the 'Report Type' field is populated with a 'P' then an Income Statement will be received otherwise an Annual Income Statement will be received.

Note: The minimum information required for the receipt of Annual Income Statements (Registry Income Statement Set) is the **receiving PID**; **HIN** and **Security**.

Action	Trigger Field Name	Trigger	Input Message	Return Message	Value
PISP Rejection of Income Statement Request	APIR Code	'Reject'	MT869	MT860	Rejected registry reason of 'G' applied. If MT869 'Report Type' field is populated with a 'P' then an Income Statement will be received otherwise an Annual Income Statement will be received.

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MT816 Income Statement Advice (Periodic)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT816 Income Statement Advice:*

Bit Position	Field Name	Format	Mandatory / Optional (M/O)	Vale
1	Bit Map 2 Marker	On	M	
2	Security Code	12 Character	M	
3	Gross Income Amount	15 Numeric, 2 Decimal	M	20000.00
11	Income Notification Flag	1 Character	M	I
16	HIN	10 Numeric	M	
20	PID	5 Numeric	M	
48	Transaction ID	16 Character	M	
65	Bit Map 3 Marker	On	M	
129	Bit Map 4 Marker	On	M	
221	Income Amount Per Unit	11 Numeric, 6 Decimal	O	5.00
223	Tax Deducted	15 numeric, 2 Decimal	O	1000.00
224	Nett Amount	15 Numeric, 2 Decimal	O	18800.00
232	Units Participating	18 Numeric, 6 Decimal	O	400000
237	Fees	15 Numeric, 2 Decimal	O	200.00
242	Payment Date	8 Numeric	M	Process Date
244	Record Date	8 Numeric	M	Process Date
245	APIR Code	9 Character	O	
250	Tax Credit Amount	15 Numeric, 2 Decimal	O	0.00

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MT957 Registry Income Statement Part A (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT957 Registry Income Statement Part A:*

Bit Position	Field Name	Format	Mandatory / Optional (M/O)	Vale
1	Bit Map 2 Marker	On	M	
2	Security Code	12 Character	M	
16	HIN	10 Numeric	M	
19	PID	5 Numeric	M	
22	Income Statement Status	1 Character	M	
48	Transaction ID	16 Character	M	
49	Set Transaction ID	16 Character	M	
62	Origin Transaction ID	16 Character	M	
65	Bit Map 3 Marker	On	M	
94	As At Date	8 Numeric	M	
129	Bit Map 4 Marker	On	M	
136	Non Primary Income	14 Numeric, 2 Decimal	O	100000.00
137	Trusted Franked Deductions	14 Numeric, 2 Decimal	O	2050.00
165	Franking Credit	14 Numeric, 2 Decimal	O	205.00
166	TFN Withholding	14 Numeric, 2 Decimal	O	15000.00
181	Annual Capital Gain	14 Numeric, 2 Decimal	O	250.00
245	APIR Code	9 Character	O	
268	Net Capital Gain	14 Numeric, 2 Decimal	O	175.00
269	Assessable Foreign Income	14 Numeric, 2 Decimal	O	10.00
270	Other Foreign Income	14 Numeric, 2 Decimal	O	5.00
271	Foreign Income Tax Offsets	14 Numeric, 2 Decimal	O	15.00
272	Non Primary Deductions	14 Numeric, 2 Decimal	O	5.00

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MT959 Registry Income Statement Part B (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT959 Registry Income Statement Part B:*

Bit Position	Field Name	Format	Mandatory / Optional (M/O)	Vale
1	Bit Map 2 Marker	On	M	
2	Security Code	12 Character	M	
16	HIN	10 Numeric	M	
19	PID	5 Numeric	M	
22	Income Statement Status	1 Character	M	
48	Transaction ID	16 Character	M	
49	Set Transaction ID	16 Character	M	
62	Origin Transaction ID	16 Character	M	
65	Bit Map 3 Marker	On	M	
94	As At Date	8 Numeric	M	
129	Bit Map 4 Marker	On	M	
136	Capital Gain Discounted	14 Numeric, 2 Decimal	O	2050.00
137	Capital Gain Other	14 Numeric, 2 Decimal	O	205.00
165	Annual Capital Gain Total	14 Numeric, 2 Decimal	O	15000.00
166	CGT Concession	14 Numeric, 2 Decimal	O	250.00
181	Tax Deferred	14 Numeric, 2 Decimal	O	175.00
245	APIR Code	9 Character	O	

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MT961 Registry Income Statement Part C AI (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT961 Registry Income Statement Part C AI:*

Bit Position	Field Name	Format	Mandatory / Optional (M/O)	Vale
1	Bit Map 2 Marker	On	M	
2	Security Code	12 Character	M	
16	HIN	10 Numeric	M	
19	PID	5 Numeric	M	
22	Income Statement Status	1 Character	M	
48	Transaction ID	16 Character	M	
49	Set Transaction ID	16 Character	M	
62	Origin Transaction ID	16 Character	M	
65	Bit Map 3 Marker	On	M	
94	As At Date	8 Numeric	M	
129	Bit Map 4 Marker	On	M	
136	AI Dividends Franked Amount Cash	14 Numeric, 2 Decimal	O	100000.00
137	AI Dividends Franked Amount Tax	14 Numeric, 2 Decimal	O	2050.00
165	AI Dividends Franked Amount Taxable	14 Numeric, 2 Decimal	O	205.00
166	AI Dividends Unfranked Amount Cash	14 Numeric, 2 Decimal	O	15000.00
181	AI Dividend Unfranked Amount Taxable	14 Numeric, 2 Decimal	O	250.00
245	APIR Code	9 Character	O	
268	AI Interest Cash	14 Numeric, 2 Decimal	O	175.00
269	AI Interest Taxable	14 Numeric, 2 Decimal	O	10.00
270	AI Other Income Cash	14 Numeric, 2 Decimal	O	5.00
271	AI Other Income Taxable	14 Numeric, 2 Decimal	O	15.00
272	AI Trust Deductions Cash	14 Numeric, 2 Decimal	O	175.00
273	All Trust Deductions Taxable	14 Numeric, 2 Decimal	O	10.00
274	AI Non Primary Income Cash	14 Numeric, 2 Decimal	O	5.00
275	AI Non Primary Income	14 Numeric, 2 Decimal	O	15.00

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MT963 Registry Income Statement Part C CG (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT963 Registry Income Statement Part C CG:*

Bit Position	Field Name	Format	Mandatory / Optional (M/O)	Vale
1	Bit Map 2 Marker	On	M	
2	Security Code	12 Character	M	
16	HIN	10 Numeric	M	
19	PID	5 Numeric	M	
22	Income Statement Status	1 Character	M	
48	Transaction ID	16 Character	M	
49	Set Transaction ID	16 Character	M	
62	Origin Transaction ID	16 Character	M	
65	Bit Map 3 Marker	On	M	
94	As At Date	8 Numeric	M	
129	Bit Map 4 Marker	On	M	
136	CG Discount Cash	14 Numeric, 2 Decimal	O	100000.00
137	CG Discount Tax	14 Numeric, 2 Decimal	O	2050.00
165	CG Discount Taxable	14 Numeric, 2 Decimal	O	205.00
166	CG Tax Concession Cash	14 Numeric, 2 Decimal	O	15000.00
181	CG Tax Concession Taxable	14 Numeric, 2 Decimal	O	250.00
245	APIR Code	9 Character	O	
268	CG Other Method Cash	14 Numeric, 2 Decimal	O	175.00
269	CG Other Method Tax	14 Numeric, 2 Decimal	O	10.00
270	CG Other Method Taxable	14 Numeric, 2 Decimal	O	5.00
271	CG Distributed Cash	14 Numeric, 2 Decimal	O	350.00
272	CG Distributed Tax	14 Numeric, 2 Decimal	O	175.00
273	CG Distributed Taxable	14 Numeric, 2 Decimal	O	10.00
274	CG Net	14 Numeric, 2 Decimal	O	5.00

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MT965 Registry Income Statement Part C FI (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT965 Registry Income Statement Part C FI:*

Bit Position	Field Name	Format	Mandatory / Optional (M/O)	Vale
1	Bit Map 2 Marker	On	M	
2	Security Code	12 Character	M	
16	HIN	10 Numeric	M	
19	PID	5 Numeric	M	
22	Income Statement Status	1 Character	M	
48	Transaction ID	16 Character	M	
49	Set Transaction ID	16 Character	M	
62	Origin Transaction ID	16 Character	M	
65	Bit Map 3 Marker	On	M	
94	As At Date	8 Numeric	M	
129	Bit Map 4 Marker	On	M	
136	FI Assessable Income Cash	14 Numeric, 2 Decimal	O	100000.00
137	FI Assessable Income Tax	14 Numeric, 2 Decimal	O	2050.00
165	FI Assessable Income Taxable	14 Numeric, 2 Decimal	O	205.00
166	FI Cash Cash	14 Numeric, 2 Decimal	O	15000.00
181	FI Tax Tax	14 Numeric, 2 Decimal	O	250.00
245	APIR Code	9 Character	O	
268	FI Cash Cash Sub-Total	14 Numeric, 2 Decimal	O	175.00

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MT967 Registry Income Statement Part C NA (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT967 Registry Income Statement Part C NA:*

Bit Position	Field Name	Format	Mandatory / Optional (M/O)	Vale
1	Bit Map 2 Marker	On	M	
2	Security Code	12 Character	M	
16	HIN	10 Numeric	M	
19	PID	5 Numeric	M	
22	Income Statement Status	1 Character	M	
48	Transaction ID	16 Character	M	
49	Set Transaction ID	16 Character	M	
62	Origin Transaction ID	16 Character	M	
65	Bit Map 3 Marker	On	M	
94	As At Date	8 Numeric	M	
129	Bit Map 4 Marker	On	M	
136	NA Tax Exempted Amounts Cash	14 Numeric, 2 Decimal	O	100000.00
137	NA Tax Deferred Amounts Cash	14 Numeric, 2 Decimal	O	2050.00
165	NA Gross Cash	14 Numeric, 2 Decimal	O	205.00
245	APIR Code	9 Character	O	

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MT969 Registry Income Statement Part C OD (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT969 Registry Income Statement Part C OD:*

Bit Position	Field Name	Format	Mandatory / Optional (M/O)	Vale
1	Bit Map 2 Marker	On	M	
2	Security Code	12 Character	M	
16	HIN	10 Numeric	M	
19	PID	5 Numeric	M	
22	Income Statement Status	1 Character	M	
48	Transaction ID	16 Character	M	
49	Set Transaction ID	16 Character	M	
62	Origin Transaction ID	16 Character	M	
65	Bit Map 3 Marker	On	M	
94	As At Date	8 Numeric	M	
129	Bit Map 4 Marker	On	M	
136	OD TFN Amounts Withheld	14 Numeric, 2 Decimal	O	100000.00
137	OD Other Expenses	14 Numeric, 2 Decimal	O	2050.00
165	OD Net Cash	14 Numeric, 2 Decimal	O	205.00
245	APIR Code	9 Character	O	

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Holding Advice and Bank Account Details

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 5.7
  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-asx-settlement-procedure-guidelines/asx015345.pdf

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Holding Advice and Bank Account Details, testing can be executed two ways;

1. Using the CHESS turnaround processer. This will allow you to receive message outputs e.g. Acceptance or Rejections.

2. Manual responses. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframe and availability for tailored testing. Test plans may be required if bulk testing is to be completed.

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Holding Advice testing using Automatic Turnaround Processor

	Trigger Field Name	Trigger	Participant Input Message	Registry Input Message	Resulting Input Message to Participant	Resulting Message to Registry
Holding Advice Registry Accepts	Bank Account Number	First 3 Bytes of the BSB	757	759	764	762
Holding Advice Registry Rejects	Bank Account Number	First 3 Bytes of the BSB	757	761	766	762

NB: Refer to table below for further information.

Approved BSB numbers from the Australian Payments and Clearing Association Limited must be used.

If the Registry wishes to reject details of a Holding Advice message, the entire details will be rejected. A participant must resend the message with all details. E.g. If a Participant submitted Bank Account details on a Holding Advice message and received 'B', 'D' or 'H' as the rejected reason, the participant would be required to resend the Bank Account

Where a participant has elected to provide a bank account, the relevant optional fields must be completed. For example, if a participant provided a bank account, all bank account details must be provided (i.e. BSB Number, Account Number, Account Name and Account Purpose).

Bank Account Establishment

First 3 Bytes of BSB	Account Purpose	Account Cancellation	Rejected Holding Advice Reason	Description
000 - 067	E	space	N/A (accepted)	
068 - 101	E	space	H	Failed requirements for Bank A/C structure or format
102 - 999	E	space	B	Issuer does not support electronic direct credit

Bank Account Cancellation

First 3 Bytes of BSB	Account Purpose	Account Cancellation	Rejected Holding Advice Reason	Description
000 - 067	E	Y	N/A (accepted)	
068 - 999	E	space	D	Cancellation Bank A/C details do not match recorded Bank A/C details.

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Conversions

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Conversion testing can be executed two ways;

3. Using the CHESS turnaround processer. This will allow you to receive message outputs e.g. Acceptance or Rejections.

4. Manual responses. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframe and availability for tailored testing. Test plans may be required if bulk testing is to be completed.

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The Conversion Process

Conversions: Issuer Sponsored to CHESS Conversion of Fund Units

Followed by Product Issuer Settlement Participant acceptance or rejection of the Conversion request.

A 718 Issuer Sponsored Fund to CHESS Conversion Request	M / O
Fund Code	M
APIR Code	O
Receiving HIN	M
Movement Reason	M
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	M
AML/CTF Check Flag	M
KYC Check Flag	M
Underlying Reference	O
Number of Units	M

B 720 Accepted Participant Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

C 719 Issuer Sponsored Fund to CHESS Authorisation Request	M / O
Fund Code	M
APIR Code	O
Receiving HIN	M
Receiving PID	M
Receiving Registration Details	M
Broker Non broker Indicator	M
Processing Timestamp	M
Movement Reason	M
Transaction Id	M
Security Holder Reference Number	M
Origin Transaction Id	M
AML/CTF Check Flag	M
KYC Check Flag	M
Number of Units	M

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Conversion testing using Automatic Turnaround Processor

Issuer to CHESS Sponsored

	Trigger Field Name	Trigger	Input Message	Resulting Message	Value
Fund to CHESS Transfer Authorisation	Units	Even	718	723	"A" - Accepted
Fund to CHESS Transfer Rejection	Units	Odd	718	725	"H" – Reason Rejected Movement

Conversion Testing requiring PTOps response

Users completing Conversion testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to PTOps with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to PTOps for each test
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.

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Issuer Sponsored Holding Balance

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Issuer Sponsored Holding Balance testing can be executed two ways;

1. Using the CHESS turnaround processer. This will allow you to receive message outputs e.g. Acceptance or Rejections.

2. Manual responses. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframe and availability for tailored testing. Test plans may be required if bulk testing is to be completed.

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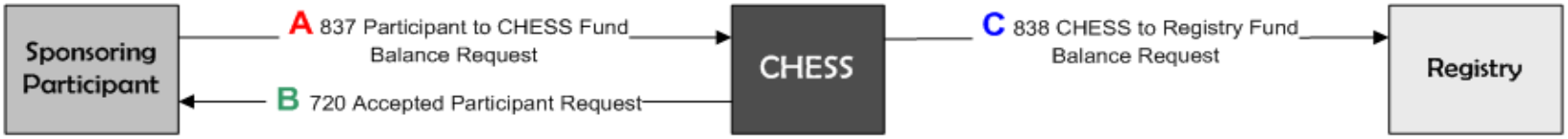
Enquiries: Issuer Sponsored Fund Holding Balance Enquiry



A 837 Participant to CHESS Fund Balance Request	M / O
Fund Code	M
APIR Code	O
Transaction Id	M
Verification Name	M
Security Holder Reference Number	M

B 720 Accepted Participant Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

C 838 CHESS to Registry Fund Balance Request	M / O
Fund Code	M
APIR Code	O
Requesting PID	M
Processing Timestamp	M
Transaction Id	M
Verification Name	M
Security Holder Reference Number	M
Origin Transaction Id	M

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Unit Registry Fund Balance Request testing using Automatic Turnaround Processor

	Trigger Field Name	Trigger	Input Message	Resulting Message	Value
Fund Balance Acceptance	SRN	Odd number or end in A-M	837	840	"A" - Accepted
Fund Balance Rejection	SRN	Even number or ends in N-Z	837	842	"R" – Rejected

Note: holding balances will be zero, as there is no link to Share Registry systems to check holding balances in the testing environment. For specific holding balances please use below procedure.

Unit Registry Fund Balance Request testing that requires PTOps response

Users completing Unit Registry Fund Balance Request testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to PTOps with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to PTOps for each test
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.

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CHESS to CHESS Fund Transfers (Subject to Regulatory Approval)

Important Note:
This process has been added to these guidelines for the purpose of testing for Vendor accreditation and Operational Readiness as part of mFund Enhancements – CHESS Release 10, 2018 and is only available to test in the CHESS RTE environment.

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

CHESS to CHESS Fund Transfers can be executed two ways;

1. Using the CHESS turnaround processer. This will allow you to receive message outputs e.g. Acceptance or Rejections.

2. Manual responses. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframe and availability for tailored testing. Test plans may be required if bulk testing is to be completed.

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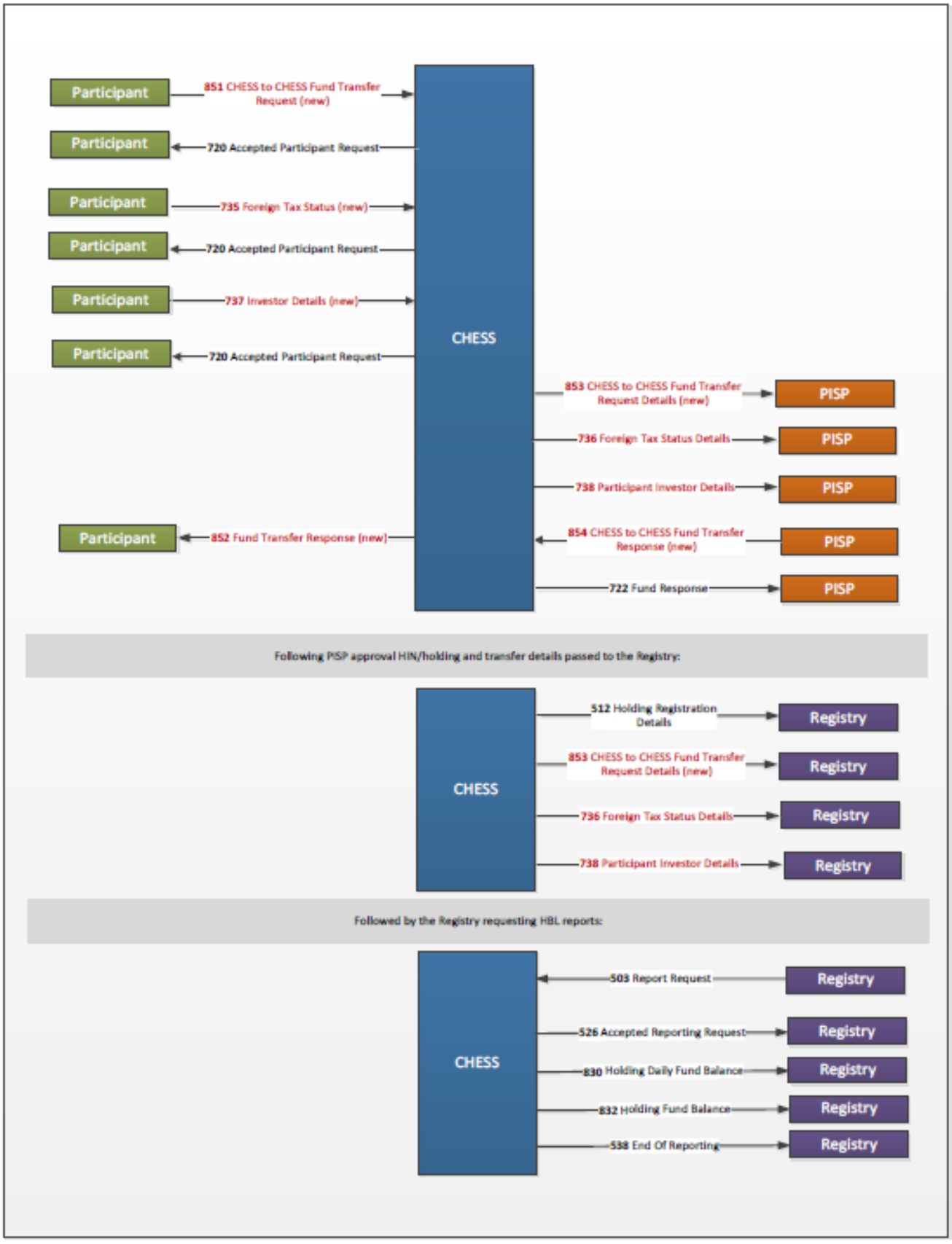
CHESS to CHESS Fund Transfer



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CHESS to CHESS Transfer testing using Automatic Turnaround Processor

Participants are required to send the matching MT735 Foreign Tax Status and MT737 Investor Details message.

	Trigger Field Name	Trigger	Input Message	Resulting Message	Value
CHESS to CHESS Transfer rejected by PISP	Units	odd	851, 733, 737	852	"A" - Insufficient Units Separately send MT735 & MT737 with linking transaction ID of MT851
CHESS to CHESS Transfer accepted by PISP	Units	even	851, 735, 737	852 512*	Separately send MT735 & MT737 with linking transaction ID of MT851

MT512 Holding Registration Details goes to the Share Registry for an accepted CHESS to CHESS transfer.

Currently there is only one reject reason available "A – Insufficient Units" when using the turnaround processor.

Incomplete Request Cancellation MT740

Where the Transfer Request, Foreign Tax Status (MT735) and Investor Details (MT737) are not received by CHESS within **5 Business days** to form a valid transfer set, CHESS will cancel the Transfer Request. On the morning of **6th business day** the requesting Participant will be notified of the cancelled requested by **MT740**. The Origin Transaction ID will be the linking transaction ID.

Message No	Trigger Field Name	Sender	Recipient
740	Cancelled Fund Request	CHESS	Participant

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CHESS to CHESS Transfer testing that requires PTOps response

Users completing CHESS to CHESS Transfer testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to PTOps with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to PTOps for each test.
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.

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Reporting

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
  https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html

- External Interface Specification Manual (EIS) section 4 and 8
  https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html

  https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Reporting testing works as it does in production for the mFund test environment

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Reporting Matrix

The below table provides some parameters for mFund Reporting

Reporting ID	Report Name	Existing CHESS output messages		New CHESS output messages for mFund	Fields to be populated for Immediate reporting	Fields to be populated for end of day reporting	Fields to be populated for weekly reporting	Requested by
		Non-mFund Related	mFund Related		079 Processing Frequency must = 00	085 Processing Period = E		
CFB	Participant Counterparty Balance	158	158		N/A	048,078,079,085	048,078,079,084, 085	PISP, P
CSI	Cancelled Settlement Instruction	048, 116, 118, 132	116		N/A	002,048,078,079,085, 094,095		PISP, P
FHT	Full Fund Holding Transaction	014, 018, 022, 034, 042, 050, 052, 054, 056, 058, 060, 062, 068, 070, 072, 074, 090, 146		733, 834, 835	002,016,048,078,079	002,016,048,078, 079,085 Or 002,016,048,078, 079,085		R, P
FSI	Full Settlement Instruction	116, 180, 188, 190, 192	116, 180, 188		N/A	002,048,078,079, 085		PISP, P
HBL1	Holding Fund Balance	508, 510, 522		830, 832	002,016,048,078,079,083 or 002,016,048,078,079,098	002,016,048,078, 079,085,098		R, P
HLD	Holder Detail	222	222		016,048,078,079	048,078,079,085		PISP, P
HLH	Holder History	224	224		016,048,078,079	N/A		PISP, P
HTX	Holding Transaction	002, 004, 006, 008, 010, 146, 172, 174		717, 723, 733	N/A	002,019,048,078, 079,085,094,095		P
PFD	Payment Facility Detail	230	230		N/A	048,078,079,085		PISP, P

[1] Where a Holding Daily Fund Balance (830) or Holding Daily Balance (508) is required, an *As At Date* must be furnished in the 503 Report Request

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PFH	Payment Facility History	232	232		N/A	048,078,079,085		PISP, P
RPD	Reporting Detail	234	234		048,049,078,079,099	N/A		R, PISP, P
SET	Settlement	124, 146, 156, 170, 192	124, 156, 170		N/A	048,078,079,085		PISP, P
SMP	Subregister Movement – Participant	008, 016, 076, 172, 174		717, 720, 723, 725	N/A	019,048,078,079, 085,094,095		P
USD	User Detail	226	226		019,048,078,079	N/A		R, PISP, P
USH	User History	228	228		019,048,078,079	N/A		R, PISP, P

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Foreign Tax Validation Matrix

Examples are provided in Foreign Tax Determination Example 1 and Foreign Tax Determination Example 2.

Account Type	Address Type	Address Details (3)	Entity Type	Foreign Residency Indicator	Superannuation Fund ABN	Foreign Person (3)	Foreign Person Date of Birth (3)	Foreign Country Code (3)	Foreign TIN (3)	TIN Absent (3)	Additional Foreign Parties
S	Error if populated	Error if populated	Error if populated	Error if populated	Mandatory	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated
I	Mandatory = R	Mandatory Single instance only	Error if populated	Mandatory	Error if populated	Mandatory Single instance if Foreign	Mandatory Single instance if Foreign	Mandatory Instance per Foreign Country Code. Error if 'AUS'	Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated.	Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated.	Error if populated
J	Mandatory = R	Mandatory Instance per Joint holder. At least 2 instances must be present	Error if populated	Mandatory. *Note:* Y if any of the Joint holders are Foreign.	Error if populated	Mandatory Instance per Foreign person	Mandatory Instance per Foreign person	Mandatory Instance per Foreign Country Code. Error if 'AUS'	Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated.	Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated.	No validation, but we expect the brokers to do the following: Aligned on the HIN Registration Details, populate with 'Y' where more than 3 parties are Foreign or where the HIN Registration Details list greater than 3 Persons on the account and those persons are Foreign.
C	Mandatory = G	Mandatory Single instance only	Mandatory	Mandatory	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated
T	Mandatory = T	Mandatory Single instance only	Mandatory	Mandatory	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated

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Foreign Tax Determination Matrix Example 1

The structure allows up to 3 Foreign Persons per Account Type to be identified and 3 Foreign Tax Residencies per Foreign Person. An Additional Foreign Parties indicator Indicates where there are more than 3 Foreign Persons identified for the Account Type.

Account Type	Address Type[1]	Address Details	Entity Type[2]	Foreign Residency Indicator	Superannuation Fund ABN[3]	Foreign Person[4]	Foreign Person Date of Birth	Foreign Country Code[5]	Foreign TIN[6]	TIN Absent[7]	Comments
	3 instances provided for Account Type 'I'					3 instances provided – any additional identified Foreign Persons can be indicated by using the Additional Foreign Parties indicator		3 instances provided			
S (Super Fund)					Y						No foreign tax reporting implications
I (Individual)	Y	Y		Y		Y	Y	Y	Y	Y if no Foreign TIN	
	Y	Y		N							No foreign tax reporting implications
J (Joint)	Y	Y		Y		Y	Y	Y	Y	Y if no Foreign TIN	Align the group entries with the holder names as they appear in the HIN Registration details.
	Y	Y		N							No foreign tax reporting implications
C (Company)	Y	Y	Y	Y							
	Y	Y	Y	N							No foreign tax reporting implications
T (Trust)	Y	Y	Y	Y							
	Y	Y	Y	N							No foreign tax reporting implications

Notes

1 *A Residential Address is required for Account Types 'I' and 'J'; a Registered Address is required for Account Type 'C'; a Trust Address is required for Account Type 'T'.*
2 *Entity Type denotes, for Account Types 'C' and 'T', whether the entity is an Active NFE, Passive NFE or a Financial Institution.*
3 *A Superannuation Fund ABN is required for Account Type 'S'.*
4 *Up to 3 Foreign Persons may be identified. Where more than 3 Foreign Persons are identified, the Additional Foreign Parties indicator must be used.*
5 *Up to 3 X 3 Character ISO Country Codes may be entered per Foreign Person. AUS (Australia) not accepted.*
6 *Up to 3 Tax Identifiers, such as a TIN, may be entered per Foreign Person.*
7 *Up to 3 unknown Tax Identifiers, such as a TIN, may be described as absent per Foreign Person.*

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Foreign Tax Determination Matrix Example 2

This table shows examples where there is NO Foreign Residency identified.

Account Type	Address Type	Address Details (3)	Entity Type	Foreign Residency Indicator	Superannuation Fund ABN	Foreign Person (3)	Foreign Person Date of Birth (3)	Foreign Country Code (3)	Foreign TIN (3)	TIN Absent (3)	Additional Foreign Parties
S	No value	No values	No value	No value	346678009005	No values	No values	No values	No values	No values	No value
I	R	(1) Mr B. Grete 18 Muru Ave Dubbo NSW Australia	No value	N	No value	No values	No values	No values	No values	No values	No value
J	R	(1)Mrs B. Ushen 342 Air Ave Picton NSW Australia (2) Ms. L. Jitty 7 Poy Lane Picton NSW Australia (3) Mr. J. Duton 81a Ret Road Picton NSW Australia	No value	N	No value	No values	No values	No values	No values	No values	N
C	G	(1)YYT Inc PO Box 23456 Sydney Australia	P	N	No value	No values	No values	No values	No values	No values	No value
T	T	(1)TuTu Trading 8501 One Way Melbourne Australia	A	N	No value	No values	No values	No values	No values	No values	No value

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