



# ReferencePoint®

## Master List – Financial Instrument Identifier Specification Manual

The definitive reference data service, direct from the source



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# Introduction

ASX is Australia's National Numbering Agency (NNA) and is a full member of the Association of National Numbering Agencies (ANNA) which is the International Organization for Standardization (ISO) appointed Registration Authority and Maintenance Agency for ISO standards that govern financial instrument identification.

ASX in its capacity as the National Numbering Agency (NNA) for Australia is allocating the Classification of Financial Instrument (CFI) and Financial Instrument Short Name (FISN) identifiers to all financial products for which it allocates an ISIN. CFI and FISN are financial instrument identifier standards developed by the International Organization for Standardization (ISO).

CFI and FISN data are available for the following financial products:

- ASX Cash Market Equity and Interest Rate products
- ASX Exchange Traded Options (ETO)
- CHESS Eligible Financial Products listed for Approved Market Operators
- Warrants and Structured Products
- mFund Products
- Wholesale Debt Products (discount and fixed interest securities recorded in the ASX Austraclear system)

Also as the NNA for Australia, ASX is facilitating for ASX Issuers including Issuers of CHESS Eligible Financial Products listed for Approved Market Operators the provision of the Legal Entity Identifiers (LEI) on a voluntary basis. Hence, it is only where the values are provided by relevant issuers that values will be disseminated.

## File Access

ReferencePoint Master List Financial Instrument identifier files can be accessed every business day via the ASX web portal ASX Online – [www.asxonline.com.au](http://www.asxonline.com.au).

## Files Description and Availability

This section describes each of the financial instrument identifier files.

### Financial Instrument Identifier Master Files (Weekly)

Consists of the following two (2) files:

- File containing full list of ASX quoted financial instruments.
- File containing Austraclear financial instruments.

Approximate availability time on the last business day of the week:

From 22:30

### Financial Instrument Identifier Change/Delta Files (Daily)

Two files, one for Austraclear financial instruments and one for ASX quoted financial instruments, containing new instruments, instruments to be deleted and instruments that have changed records effective the next business day.

Approximate daily availability time:

From 22:30

## ASXOnline File Names

Frequency	ASX Online Folder Name	CSV File Name
<b>ASX Quoted Instruments</b>		
Daily	Financial Instrument_All_Daily	ASXFIA_D
Weekly	Financial Instrument_All_Weekly	ASXFIA_W
<b>Austraclear Instruments</b>		
Daily	Financial Instrument_ACLR_Daily	FININSED
Weekly	Financial Instrument_ACLR_Weekly	FININSEW

## File Structure/Format

Fields are comma separated and displayed in the order as shown in below table. The first row of the file contains the column heading as per the “Field Name” column from the table.

### Financial Instrument Identifier File

Field Name	Column*	Size	Comments
File Content Indicator	A	1	
Security Identifier/Code	B	32	This value represents an ASX Code for all financial instruments other than Austraclear for which a series code is displayed.
ISIN	C	12	
Security Description	D	50	Full security description.
CFI Code	E	6	Classification of Financial Instrument Code
FISN	F	35	Financial Instrument Short Name
Issuer Name	G	60	Issuer Full Name
Issuer Short Name	H	10	
Issuer LEI	I	20	Legal Entity Identifier
First Active Date	J	9	
Last Active Date	K	9	
<b>End of File Record</b>			
Business Date	A	11	File Generation Business Date

\* This is the column location of a field when the file is opened in a spreadsheet.



## Data Dictionary and Field Definitions

This section includes all the content fields for each Derivatix file/dataset described in the previous section. It includes a definition of all the fields and a dictionary describing each component of data.

Business Date	
Field Name	Business Date
Size	11
Format	Numeric dd-mmm-yyyy where: dd = Day mmm = Month yyyy = Year  Note: The date format when opened in an excel spreadsheet will depend on the machine's regional setting. For example, a machine's default setting could be in the format dd-Mmm-yy. In this case, the date January 10, 2018 will be displayed as 10-Jan-18.
Description	The date when the file is generated.
Valid Values	N/A

File Content Indicator	
Field Name	File_Content_Indicator
Size	1
Format	Numeric
Description	An indicator as to the type of Security record being disseminated.
Valid Values	1 = Complete Down Load 2 = Change 3 = New Insertion 4 = Deletion

Security Identifier/Code	
Field Name	Security_Code
Size	32
Format	Alphanumeric
Description	The ASX Code for all financial instruments other than Austraclear. Austraclear instruments display the Series Code.
Valid Values	N/A

### International Securities Identification Number (ISIN)

Field Name	ISIN
Size	12
Format	Alphanumeric
Description	A code that uniquely identifies a financial instrument.
Valid Values	<p>ISIN Structure has three (3) components as follow:</p> <ul style="list-style-type: none"> <li>• Positions 1 – 2: A two letter Country Code (i.e. AU for Australian financial instruments)</li> <li>• Positions 3 – 11: A nine character basic value (letters and or digits). From February 2018, basic number for newly issued Australian financial instruments. The number will be padded to the left as necessary, with zeroes.</li> <li>• Position 12: A one character check digit.</li> </ul>

### Security Long Description

Field Name	Security_Description
Size	50
Format	Alphanumeric
Description	Full description of a particular class of instrument as defined by the issuing body.
Valid Values	N/A

### Classification of Financial Instrument Code

Field Name	CFI_Code
Size	6
Format	Alphabetic
Description	<p>Classification of financial instrument as defined under ISO 10962.</p> <p>CFI codes provide more granular details of instrument structure and terms to enable better and more transparent financial instrument classification.</p> <p>The six (6) digit alphanumeric code is comprised of 2 characters defining the financial instrument category/group and 4 characters identifying the instrument's attributes.</p>
Valid Values	Refer to Appendix 1

### Financial Instrument Short Name

Field Name	FISN
Size	35
Format	Alphanumeric
Description	<p>Financial instrument short name as defined under ISO 18774.</p> <p>FISN provides a standardised convention for financial instrument short names and descriptions. The 35 character FISN incorporates the issuer short name and abbreviated characteristics of the financial instrument. It is a human readable financial identifier code and not intended to be machine readable.</p>
Valid Values	N/A

Issuer Name	
Field Name	Issuer_Name_Long
Size	60
Format	Alphanumeric
Description	Full legal name of the issuing body.
Valid Values	N/A

Issuer Short Name	
Field Name	Issuer_Name_Short
Size	10
Format	Alphanumeric
Description	An abbreviation of the legal name of the issuing body.
Valid Values	N/A

Issuer Legal Entity Identifier	
Field Name	Issuer_LEI
Size	20
Format	Alphanumeric
Description	An Issuer's legal entity identifier code as defined under ISO 17442.
Valid Values	N/A

First Active Date	
Field Name	First_Active_Date
	Note: For Austraclear instruments, this data field is the <b>Issue Date</b> .
Size	11
Format	Numeric dd-mmm-yyyy where: dd = Day mmm = Month yyyy = Year  Note: The date format when opened in an excel spreadsheet will depend on the machine's regional setting. For example, a machine's default setting could be in the format dd-Mmm-yy. In this case, the date January 10, 2018 will be displayed as 10-Jan-18.
Description	<b>First Active Date</b>  The date on which a security or calculated ratio is first entered in or converted to the securities database of the Australian Securities Exchange.  For <b>derivative products</b> (Exchange Traded Options, ASX Futures Contracts and warrants), this is the trading commencement date. For calculated ratios, this is the first date on which they are/were published.  For <b>mFund</b> securities (Security Types 35 and 38), this date represents the date that the fund is entered

Fist Active Date	
	<p>into the ASX Securities Exchange database in preparation for admission to the mFund Settlement Service.</p> <p><b>Issue Date</b> Date when the instrument/security is issued.</p>
Valid Values	N/A

Last Active Date	
Field Name	Last_Active_Date
	<p>Note: For Austraclear instruments, this data field is the <b>Maturity Date</b>.</p>
Size	11
Format	<p>Numeric dd-mmm-yyyy where:</p> <p>dd = Day mmm = Month yyyy = Year</p> <p>Note: The date format when opened in an excel spreadsheet will depend on the machine's regional setting. For example, a machine's default setting could be in the format dd-Mmm-yy. In this case, the date January 10, 2018 will be displayed as 10-Jan-18.</p>
Description	<p><b>Last Active Date</b></p> <p>For <b>securities</b>, this is the date of permanent removal of a security from the securities database of the Australian Securities Exchange.</p> <p>For <b>derivative products</b> (Exchange Traded Options, ASX Futures Contracts or Warrants), this is the last day on which the product is available for trading (i.e. in the majority, but not all cases, the expiry date of the derivative product).</p> <p>For <b>mFund securities</b> (Security Types 35 and 38), this is the date of permanent removal of the security from the securities database of the Australian Securities Exchange.</p> <p><b>Dissemination change made effective 01 September 2014:</b></p> <p>Prior to 01/09/14, a Last Active Date data field value is only disseminated 1 business date before the effective date for a Deferred Delivery ASX Code relating to a reconstruction event. The value is set to zero when the deferred delivery ASX Code is first disseminated. From 01/09/14, a Last Active Date value is disseminated when the deferred delivery ASX Code is first disseminated. Refer to page 4 of ASX Notice 37/14.</p> <p><b>Maturity Date</b></p> <p>The date on which an Austraclear instrument matures.</p>
Valid Values	N/A

# General Information

## Classification of Financial Instrument (CFI) Code Elements<sup>1</sup>

The Classification of Financial Instrument (CFI) Code provides the most comprehensive information possible about a financial instrument. The classification is determined by the intrinsic characteristics of the relevant instrument enabling consistent and uniform approach to financial instrument groupings and thus allow objective comparison of the instruments across markets. Allocation will occur simultaneously alongside allocation of International Securities Identifier Numbers (ISINs).

The CFI code consists of 6 alphabetical characters with all 26 alphabets A to Z available for assignment. Two (2) alphabetic characters have special meaning and are specifically used to indicate the following within the 6 character code:

X Not Applicable/Undefined: If the information is unknown, not available or not applicable at the time of assignment, the character "X" is used for the relevant element.

M Others (miscellaneous)

The meaning of the alphabetical character is local to and only valid within the context of its parent category or group.

- The first character indicates the highest level of classification and differentiates between categories such as equities, collective investment vehicles, debt instruments.
- The second character indicates specific groups within each category, examples below:
  - common/ordinary shares
  - preferred/preference shares
  - common/ordinary convertible shares
  - preferred/preference convertible shares
  - Limited partnership[ units
  - Depositary Receipts on equities
  - Structured Instruments (participation)
  - Others (Miscellaneous).

Within the category of debt instruments, the groups are:

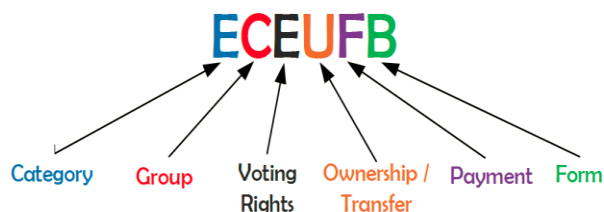
- Bonds
  - Convertible Bonds
  - Bonds with Warrants Attached
  - Medium Term Notes
  - Money Market Instruments
  - Structured Instruments (Capital Protection)
  - Structured Instruments (without Capital Protection)
  - Mortgage-Backed securities
  - Asset-Backed securities
  - Municipal Bonds
  - Depositary Receipts on debt Instruments
  - Others (Miscellaneous)
- The last four (4) characters indicate the most relevant attributes applicable to each group. Voting rights, ownership/transfer/sales restrictions, payment status and form are useful information for equities, these

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<sup>1</sup> Reference: ISO 10962 Standard Document

features do not exist for options. Options have other attributes like option style, underlying assets, delivery, standardized/non-standardized or trigger.

Ordinary equity CFI Code structure examples:



Source: ISO 10962:2015 (extract)

- Category: E for Equities
- Group: C for Common/Ordinary Convertible Shares
- Voting Rights: E for Enhanced Voting (the shareholder may be entitled to more than one vote per share)
- Ownership/Transfer: U for Free (unrestricted)
- Payment: F for Fully Paid
- Form: B for Bearer (the owner is not registered in the books of the issuer or the registry).

Category	Category Group	Attribute 1	Attribute 2	Attribute 3	Attribute 4
Position 1	Position 2	Position 3	Position 4	Position 5	Position 6
<b>Examples</b>					
		Voting Rights	Ownership/Transfers/Restrictions	Payment Status	Form
E – Equity	C = Common/Ordinary Convertible shares	E = Enhanced Voting	U = Unrestricted (Free)	F = fully Paid	B = Bearer
BHP Bilton Limited (BHP): CFI Code = ESVUFR					
E - Equity	S = Common/Ordinary  Indicates a grouping within a Category that the financial instruments falls into.	V = Voting  Indicates the voting power conferred to the shareholder.	U = Unrestricted (Free)  Indicates whether the ownership or transfer are subject to any restrictions.	F = Fully Paid  Indicates the payment status of the financial instrument.	R = Registered  Indicates the form of the financial instrument in terms of negotiability and transmission.

For details on code values, refer to Appendix 1 – ISO 10962 Standard CFI Code Elements Table and Appendix 2 – ISO 10962 Attribute Dropdown List.

## Financial Instrument Short Name (FISN) Code Elements<sup>2</sup>

The Financial Instrument Short Name (FISN) code was developed to provide a consistent and uniform approach to standardise short descriptions for financial instruments. The FISN code is intended to be human readable, not machine readable.

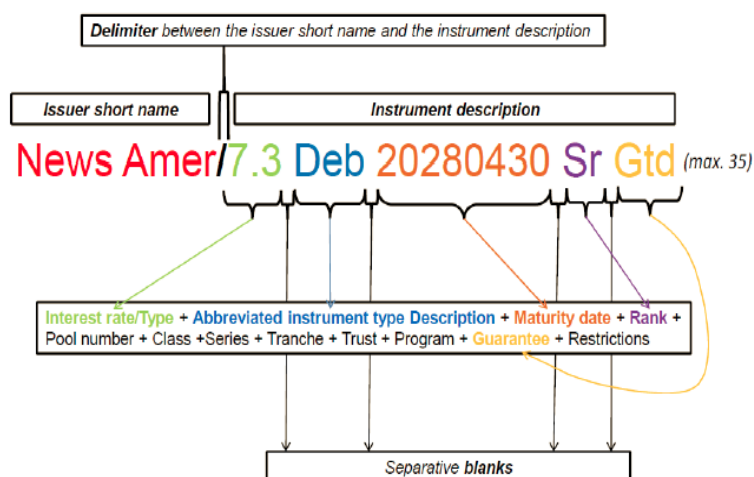
It has a maximum length of 35 alphanumeric characters consisting of the abbreviations of the securities' terms and issuer short names in accordance with the ISO 18774 Standard. The abbreviated Issuer Short Name has a maximum length of 15 alphanumeric characters and the abbreviated instrument description has a maximum length of 19 alphanumeric characters and a delimiter.

FISN Structure:

- Abbreviated Issuer Short Name with a maximum length of 15 alphanumeric characters. In the case of collective investment vehicles and derivatives, the abbreviated Issuer Short Name can be extended beyond the 15 alphanumeric characters up to the maximum FISN length of 35 alphanumeric characters.
- Forward Slash ("/") as the delimiter between the abbreviated Issuer Short Name and the abbreviated instrument description; abbreviations forming the FISN must be separated by "blanks" where required.
- Abbreviated instrument description with a maximum length up to 19 alphanumeric characters, assuming that the available length of the abbreviated Issuer Short Name has been fully used including the "/" delimiter. In the event that all the characters have not been used in the Issuer Short Name, the remaining space may be used to describe the characteristics of the financial instrument.

In the event that only preliminary information is available, the abbreviation shall be updated and distributed accordingly as more information becomes available.

News America Inc. FISN Code structure example: 7.3% Debenture1998-30.4.2028 Guaranteed Senior,  
ISIN US652482AJ95



Source: ISO 18774:2015 (extract)

<sup>2</sup> Reference: ISO 18774 Standard Document

## Appendix 1 – ISO 10962 CFI Code Elements/Structure Table

### Category (Position 1)

Category Code	Description
E	<p><b>Equities</b></p> <p>Financial instruments representing an ownership interest in an entity or pool of assets.</p>
C	<p><b>Collective Investment Vehicle (CIV)</b></p> <p>Securities representing a portion of assets pooled by investors run by a management company whose share capital remains separate from such assets and includes issues of shares or units in the form of unit trust, mutual fund, OICVM, OPCVM, SICAV, SICAF etc...</p>
D	<p><b>Debt Instruments</b></p> <p>Financial instruments evidencing monies owed by the issuer to the holder on terms as specified.</p>
R	<p><b>Entitlement (Rights)</b></p> <p>Financial instruments providing the holder with the privilege to subscribe to or to receive specific assets on terms specified.</p>
O	<p><b>Listed Options</b></p> <p>Contracts that grant to the holder either the privilege to purchase or the privilege to sell the assets specified at a predetermined price or formula at or within a time in the future.</p>
F	<p><b>Futures</b></p> <p>Contracts, listed in an exchange or regulated market, which obligate the buyer to receive and the seller to deliver in the future, the assets specified at an agreed price. This includes forwards on regulated markets.</p>
M	<p><b>Others (Miscellaneous)</b></p>



## Category Group (Position 2)

### A. Equities

Financial instruments representing an ownership interest in an entity or pool of assets.

Category Group Code	Description
<b>S</b>	<p><b>Common/Ordinary Shares</b></p> <p> Holders are typically entitled to vote and receive dividends. In the event of liquidation, holders of shares usually rank behind the entity's creditors and holders of preferred/preference shares.</p>
<b>P</b>	<p><b>Preferred/Preference Shares</b></p> <p> Payment of dividends to holders normally takes preference over the payment of dividends to other classes of shares. In the event of liquidation, preferred/preference shares normally rank above ordinary shares but behind creditors of the company.</p>
<b>C</b>	<p><b>Common/Ordinary Convertible Shares</b></p> <p> Shares, (common/ordinary) which at the discretion of the holder, are convertible into other securities, at a designated rate. The conversion privilege may be perpetual or limited to a specific period.</p>
<b>F</b>	<p><b>Preferred/Preference Convertible Shares</b></p> <p> Shares, at the discretion of the holder, are convertible into other securities, usually common/ordinary shares, at a designated rate. The conversion privilege may be perpetual or limited to a specific period.</p>
<b>L</b>	<p><b>Limited Partnership Units</b></p> <p> A limited partnership is a form of partnership similar to a general partnership, except that in addition to one or more general partners (GPs), there are one or more limited partners (LPs). Like shareholders in a corporation, the LPs have limited liability, i.e. they are only liable on debts incurred by the firm to the extent of their registered investment and they have no management authority. The GPs pay the LPs the equivalent of a dividend on their investment, the nature and extent of which is usually defined in the partnership agreement.</p>
<b>D</b>	<p><b>Depository Receipts on Equities</b></p> <p> Are securities that facilitate the ownership of securities traded in other jurisdictions. They are widely used in order to allow the trading of shares in jurisdictions other than the one where the original shares were issued.</p>
<b>Y</b>	<p><b>Structured Instruments (Participation)</b></p> <p> The construction is generally based on Low Exercise Price Option LEPO (base value less discounted future dividends) which in some cases might be comparable to a direct investment in the underlying asset(s) or a LEPO combined with other options, which together provide the desired disbursement profile.</p>
<b>M</b>	<p><b>Others (Miscellaneous)</b></p> <p> Equities that do not fit into any of the other groups listed in this table.</p>
<b>X</b>	<b>Undefined</b>

**Attributes:**

For attributes list of codes and description, refer to Appendix 2 – ISO 10962 Attributes Dropdown List.

Category Group Code	Description	Attribute 1 Dropdown	Attribute 2 Dropdown	Attribute 3 Dropdown	Attribute 4 Dropdown
S	Common/ordinary shares	Voting Right	Ownership/Transfer	Payment Status	Form
P	Preferred/preference shares	Voting Right	Redemption/conversion	Income	Form
C	Common/ordinary convertible shares	Voting Right	Ownership/Transfer	Payment Status	Form
F	Preferred/preference convertible shares	Voting Right	Redemption/conversion	Income	Form
L	Limited partnership units	Voting Right	Ownership/Transfer	Payment Status	Form
D	Depository receipts on equities	Instrument Dependency	Redemption/conversion	Income	Form
Y	Structured instruments (participation)	Participation (Type1)	Distribution	Repayment	Underlying Asset 1
M	Others (miscellaneous)	Undefined	Undefined	Undefined	Form
X	Undefined	Undefined	Undefined	Undefined	Undefined

**B. Collective Investment Vehicle (CIV)**

Securities representing a portion of assets pooled by investors run by a management company whose share capital remains separate from such assets and includes issues of shares or units in the form of unit trust, mutual fund, OICVM, OPCVM, SICAV, SICAF etc...

Category Group Code	Description
I	<p><b>Standard (Vanilla) Investment Funds/Mutual Funds</b></p> <p>An investment vehicle that is made up of a pool of funds collected from many investors for the purpose of investing in securities such as stocks, bonds, money market instruments and similar assets.</p>
H	<p><b>Hedge</b></p> <p>Type of investment fund which pursues a total return and is usually open to qualified investors only.</p>
B	<p><b>REIT (Real Estate Investment Trusts)</b></p> <p>A real estate company that offers shares/units to the public and invests in real estate directly, either through properties or mortgages.</p>
E	<p><b>ETF (Exchange Traded Funds)</b></p> <p>An investment fund traded on stock exchanges, much like stocks. An ETF holds assets such as stocks, commodities or bonds, and trades close to its net asset value over the course of the trading day. Most ETFs track an index, such as a stock, bond or commodity index.</p>
S	<p><b>Pension Fund</b></p> <p>A pension fund is run by a financial intermediary for the company and its employees. The pension fund is a common asset pool meant to generate stable growth over the long term.</p>
F	<p><b>Fund of Funds</b></p> <p>A CIV that invests directly in other investment funds rather than investing in stocks, bonds or other securities.</p>

Category Group Code	Description
<b>P</b>	<b>Private Equity Fund</b> It is normally structured as limited partnership or a limited liability company (investors are limited partners) managed by a general partner.
<b>M</b>	<b>Others (Miscellaneous)</b> CIVs which do not fit into any of the groups listed in this table.
<b>X</b>	<b>Undefined</b>

**Attributes:**

For attributes list of codes and description, refer to Appendix 2 – ISO 10962 Attributes Dropdown List.

Category Group Code	Description	Attribute 1 Dropdown	Attribute 2 Dropdown	Attribute 3 Dropdown	Attribute 4 Dropdown
I	Standard	Close/Open End	Distribution Policy	Assets1	Security Type
H	Hedge	Investment Strategy	Undefined	Undefined	Undefined
B	REIT	Close/Open End	Distribution Policy	Undefined	Security Type
E	ETF	Close/Open End	Distribution Policy	Assets1	Security Type
S	Pension fund	Close/Open End	Strategy/Style	Type2	Security Type
F	Fund of funds	Close/Open End	Distribution Policy	CIV Type	Security Type
P	Private equity fund	Close/Open End	Distribution Policy	Assets1	Security Type
M	Others (miscellaneous)	Undefined	Undefined	Undefined	Security Type
X	Undefined	Undefined	Undefined	Undefined	Undefined

**C. Debt Instrument**

Financial instruments evidencing monies owed by the issuer to the holder on terms as specified.

Category Group Code	Description
<b>B</b>	<b>Bond</b> Any interest-bearing or discounted security that normally obliges the issuer to pay the bondholder a contracted sum of money and to repay the principal amount of the debt.
<b>C</b>	<b>Convertible Bonds</b> A bond that can be converted into other securities.
<b>W</b>	<b>Bonds with Warrants Attached</b> A bond that is issued with one or more warrant(s) attached as part of the offer, the warrant(s) granting the holder the right to purchase a designated security, often the common stock of the issuer of the debt, at a specified price.
<b>T</b>	<b>Medium Term Notes</b> Negotiable instruments offered under a program agreement through one or more dealers upon request of the issuer. The program defines the terms and conditions of the notes.
<b>Y</b>	<b>Money Market Instruments</b>

Category Group Code	Description
	Financial instruments designated at issuance as such with a short-term life (for instance, treasury bills and commercial paper including municipal money-market instruments).
S	<p><b>Structured Instruments (Capital Protected)</b></p> <p>Capital protected structured instruments offer investors exposure to chosen underlying assets using various approaches and offering a large variety of asymmetric pay-off profiles. There are one or more reference entities underlying the product. Redemption is made at least in the amount of the conditional capital protection at maturity, provided that no credit event by the reference entity has occurred. Conditional capital protection only applies to the notional amount and not to the purchase price. The general functioning of a capital guaranteed structured instrument is as follows:</p> <ul style="list-style-type: none"> <li>○ The notional amount is split into a zero bond, that will deliver the capital guarantee at maturity and</li> <li>○ The difference between the zero bond's value (= present value of the guarantee level at maturity) and</li> <li>○ The notional amount is used for structuring the performance component with options which delivers the agreed pay-off profile of the structured instrument.</li> </ul>
E	<p><b>Structured Instruments (Without Capital Protection)</b></p> <p>A structured instrument without capital protection is a short term note linked to an underlying stock. The security offers a steady stream of income due to the payment of a coupon rate. The redemption at the end of the term is determined on the basis of the performance and final fixing of the underlying asset; a redemption at the nominal value is guaranteed as long as the underlying asset has not touched its barrier during relevant barrier monitoring. If the underlying has touched the barrier but is again above the strike price at final fixing, the nominal price is also repaid. Nevertheless if the underlying has touched its barrier during barrier monitoring and closes below the strike price at final fixing, the underlying asset is delivered or cash compensation paid, provided that no credit event by the reference entity has occurred. Depending on the characteristics of the product, either a coupon or a discount to the underlying asset can apply. A coupon is paid out regardless of the performance of the underlying asset, provided that no credit event by the reference entity has occurred.</p>
G	<p><b>Mortgage Backed Securities (MBS)</b></p> <p>Are debt obligations that represent claims to the cash flows from pools of mortgage loans, most commonly on residential property. Mortgage loans are purchased from banks, mortgage companies, and other organisations and then assembled into pools by a government, quasi-governmental, or private entity. The entity then issues securities that represent claims on the principal and interest payments made by borrowers on the loans in the pool, a process known as securitization.</p>
A	<p><b>Asset Backed Securities</b></p> <p>Debt instruments backed by receivables other than those arising out of real estate, loans or mortgages.</p>
N	<p><b>Municipal Bonds</b></p> <p>Bonds issued by a state, provincial, city or local government excluding municipal</p>

Category Group Code	Description
	money market securities, which shall be classified as Debt, Money Market instruments.
<b>D</b>	<b>Depository Receipts on Debt Instruments</b>  Depository Receipts are securities that facilitate the ownership of instruments traded in other jurisdictions. Widely used in order to allow trading of debt instruments in jurisdictions other than the one where the original instruments were issued.
<b>M</b>	<b>Others (Miscellaneous)</b>  Debt instruments that do not fit into any of the groups listed in this table.
<b>X</b>	<b>Undefined</b>

**Attributes:**

For attributes list of codes and description, refer to Appendix 2 – ISO 10962 Attributes Dropdown List

Category Group Code	Description	Attribute 1 Dropdown	Attribute 2 Dropdown	Attribute 3 Dropdown	Attribute 4 Dropdown
B	Bonds	Interest/Payment Type	Guarantee/Ranking	Redemption	Form
C	Convertible notes	Interest/Payment Type	Guarantee/Ranking	Redemption	Form
W	Bonds with warrants attached	Interest/Payment Type	Guarantee/Ranking	Redemption	Form
T	Medium term notes	Interest/Payment Type	Guarantee/Ranking	Redemption	Form
Y	Money market instruments	Interest/Payment Type	Guarantee/Ranking	Redemption	Form
S	Structured instruments (capital protected)	Type3	Distribution	Repayment	Underlying Asset 1
E	Structured instruments (without capital protected)	Type4	Distribution	Repayment	Underlying Asset 1
G	Mortgage backed securities	Interest/Payment Type	Guarantee/Ranking	Redemption	Form
A	Asset backed securities	Interest/Payment Type	Guarantee/Ranking	Redemption	Form
N	Municipal bonds	Interest/Payment Type	Guarantee/Ranking	Redemption	Form
D	Depository receipts on debt instruments	Debt Instrument Type	Interest/Payment Type	Guarantee/Ranking	Redemption
M	Others (miscellaneous)	Type5	Undefined	Undefined	Form
X	Undefined	Undefined	Undefined	Undefined	Undefined

**D. Entitlement (Rights)**

Financial instruments providing the holder with the privilege to subscribe to or to receive specific assets on terms specified.

Category Group Code	Description
<b>A</b>	<b>Allotment (Bonus) Rights</b>  Privileges allotted to existing security holders, entitling them to receive new securities free of charge.
<b>S</b>	<b>Subscription Rights</b>  Privileges allotted to existing security holders, entitling them to subscribe to new securities at a price normally lower than the prevailing market price.

Category Group Code	Description
<b>P</b>	<b>Purchase Rights</b>  Anti-takeover device that gives a prospective acquiree's shareholders the right to buy shares of the firm or shares of anyone who acquire's the firm at a deep discount to their fair market value.
<b>W</b>	<b>Warrants</b>  Financial instruments which permit the holder to purchase a specified amount of a financial instrument, commodity, currency or other during a specified period at a specified price.
<b>F</b>	<b>Mini Future Certificates, Constant Leverage Certificates</b>  Mini-futures combine the structure of open-end certificates with leverage option. Mini-futures have no fixed term. The leverage is therefore available without a term restriction. The price of a mini-future always corresponds to its intrinsic value, i.e. the capital outlay, plus the bid-ask spread. The financing costs associated with building up the leverage effect are offset against the capital outlay on a daily basis, thereby eliminating the need for a premium. Investors have to pay only the financing costs they actually utilize. In contrast to options, factors like volatility, have no influence at all on the price of mini-futures.
<b>D</b>	<b>Depository Receipts on Entitlements</b>  Depository Receipts are securities that facilitate the ownership of instruments traded in other jurisdictions. Widely used in order to allow trading of entitlements in jurisdictions other than the one where the original instruments were issued.
<b>M</b>	<b>Others (Miscellaneous)</b>  Entitlements (rights) that do not fit into any of the groups listed in this table.
<b>X</b>	<b>Undefined</b>

**Attributes:**

For attributes list of codes and description, refer to Appendix 2 – ISO 10962 Attributes Dropdown List

Category Group Code	Description	Attribute 1 Dropdown	Attribute 2 Dropdown	Attribute 3 Dropdown	Attribute 4 Dropdown
A	Allotment (bonus) rights	Undefined	Undefined	Undefined	Form
S	Subscription rights	Assets2	Undefined	Undefined	Form
P	Purchase rights	Assets2	Undefined	Undefined	Form
W	Warrants	Underlying Asset 1	TD6	Call/Put (Warrant Type)	Exercise Style
F	Mini future certificates, constant leverage certificates	Underlying Asset 1	Barrier Dependency Type	Long/Short	Exercise Style
D	Depository receipts on entitlements	Rights (Entitlements)	Undefined	Undefined	Form
M	Others (miscellaneous)	Undefined	Undefined	Undefined	Undefined
X	Undefined	Undefined	Undefined	Undefined	Undefined

## E. Listed Options

Contracts that grant to the holder either the privilege to purchase or the privilege to sell the assets specified at a predetermined price or formula at or within a time in the future.

Category Group Code	Description
<b>C</b>	<p><b>Call</b> Options</p> <p>Contracts between a buyer and a seller giving the buyer (holder) the right, but not the obligation, to buy the assets specified at a fixed price or formula, on or before a specified date. The seller of the call option assumes the obligation of delivering the assets specified should the buyer exercise his option.</p>
<b>P</b>	<p><b>Put Options</b></p> <p>Contracts between a buyer and a seller giving the buyer (holder) the right, but not the obligation, to sell the assets specified at a fixed price or formula, on or before a specified date. The seller of the put option assumes the obligation of buying the assets specified should the buyer exercise his option.</p>
<b>M</b>	<p><b>Others (Miscellaneous)</b></p> <p>Options that do not fit into any of the groups listed in this table.</p>
<b>X</b>	<b>Undefined</b>

### Attributes:

For attributes list of codes and description, refer to Appendix 2 – ISO 10962 Attributes Dropdown List

Category Group Code	Description	Attribute 1 Dropdown	Attribute 2 Dropdown	Attribute 3 Dropdown	Attribute 4 Dropdown
C	Call Options	Exercise Style (Option)	Underlying Asset 1	Delivery	Standardisation
P	Put Options	Exercise Style (Option)	Underlying Asset 1	Delivery	Standardisation
M	Others (miscellaneous)	Undefined	Undefined	Undefined	Undefined
X	Undefined	Undefined	Undefined	Undefined	Undefined

## F. Futures

Contracts, listed in an exchange or regulated market, which obligate the buyer to receive and the seller to deliver in the future, the assets specified at an agreed price. This includes forwards on regulated markets.

Category Group Code	Description
<b>F</b>	<p><b>Financial Futures</b></p> <p>Futures contracts based on underlying assets excluding commodities.</p>
<b>C</b>	<p><b>Commodities Futures</b></p> <p>Futures contracts based on bulk goods.</p>
<b>X</b>	<b>Undefined</b>



**Attributes:**

For attributes list of codes and description, refer to Appendix 2 – ISO 10962 Attributes Dropdown Lists

Category Group Code	Description	Attribute 1 Dropdown	Attribute 2 Dropdown	Attribute 3 Dropdown	Attribute 4 Dropdown
F	Financial futures	Underlying Asset 1	Delivery	Standardisation	Undefined
C	Commodities futures	Underlying Asset 2	Delivery	Standardisation	Undefined
X	Undefined	Undefined	Undefined	Undefined	Undefined

**G. Miscellaneous**

Financial instruments that do not fit in the list of Categories.

Category Group Code	Description
<b>C</b>	<b>Combined Instruments</b>  Packages of different financial instruments issued and/or traded as one single unit (also referred to as staple security). They can be separated during their life cycle and be traded individual. In that case, CFI codes classifying each of the financial instruments involved individually shall be assigned.
<b>M</b>	<b>Others (Miscellaneous)</b>  Instruments that do not fit into the other group listed in this table.
<b>X</b>	<b>Undefined</b>

**Attributes:**

For attributes list of codes and description, refer to Appendix 2 – ISO 10962 Attributes Dropdown List

Category Group Code	Description	Attribute 1 Dropdown	Attribute 2 Dropdown	Attribute 3 Dropdown	Attribute 4 Dropdown
C	Combined instruments	Components	Ownership/ Transfer	Undefined	Form
M	Other	Grouping	Undefined	Undefined	Undefined
X	Undefined	Undefined	Undefined	Undefined	Undefined



## Appendix 2 – ISO 10962 Attribute Dropdown List

### A. Assets1 Attribute

#### Collective Investment Vehicle Category

Standard (vanilla) Investment Funds/Mutual Funds: **I**

Exchange Traded Funds: **E**

Private Equity Funds: **P**

Indicates the underlying asset(s) in which the fund invests.

Attribute Identifier	Description: <b>Assets</b>	Description 2
<b>R</b>	Real estate	
<b>B</b>	Debt instruments	I: Fund invests in debt instrument regardless of maturity.
<b>E</b>	Equities	
<b>V</b>	Convertible securities	
<b>L</b>	Mixed	I: Fund invests in different assets.
<b>C</b>	Commodities	
<b>D</b>	Derivatives	
<b>F</b>	Referential instruments	(excluding commodities)
<b>K</b>	Credits	I: Contractual agreement in which a borrower receives something of value [good(s), service(s) or money] now and agrees to repay the lender at some date in the future, generally with interest; CIVs normally invest in credits originated by third parties; credits are not freely transferable like debt securities.
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

### B. Assets2 Attribute

#### Entitlement (Rights) Category

Subscription Rights: **S**

Purchase Rights: **P**

Indicates the type of assets that the right's holder is entitled to acquire.

Attribute Identifier	Description: <b>Assets</b>	Description 2
<b>S</b>	Common/ordinary shares	
<b>P</b>	Preferred/preference shares	
<b>C</b>	Common/ordinary convertible shares	
<b>F</b>	Preferred/preference convertible shares	
<b>B</b>	Bonds	
<b>I</b>	Combined instruments	
<b>M</b>	Other (miscellaneous)	
<b>X</b>	Undefined	

### C. Barrier Dependency Type Attribute

#### Entitlement (Rights) Category

Mini-Future Certificates/Constant Leverage Certificates: F

Attribute Identifier	Description: <b>Barrier Dependency Type</b>	Description 2
T	Barrier underlying based	The instrument immediately expires in case the barrier underlying level is breached during product lifetime.
N	Barrier instrument based	The instrument immediately expires in case the barrier instrument trading price is breached during product lifetime.
M	Other	Miscellaneous
X	Undefined	

### D. Call/Put (Warrant Type) Attribute

#### Entitlement (Rights) Category

Warrants: W

Attribute Identifier	Description: <b>Call/Put (Warrant Type)</b>	Description 2
C	Call	In most cases, the warrant entitles the holder to acquire specific underlying assets during a specified period at a specified price.
P	Put	The warrant entitles the holder to acquire cash in exchange for specific underlying assets.
B	Call and Put	Warrants with neither call nor put feature or warrants with call and put feature.
X	Undefined	

### E. CIV (Collective Investment Vehicle) Type Attribute

Attribute Identifier	Description: <b>CIV Type</b>	Description 2
I	Standard (Vanilla) Investment Funds/ Mutual Funds	
H	Hedge	
B	REIT (Real Estate Investment Trusts)	
E	ETF (Exchange Traded Funds)	
S	Pension Fund	
F	Fund of Funds	
P	Private Equity Fund	
M	Others (Miscellaneous)	
X	Undefined	

## F. Closed/Open-End Attribute

Indicates whether units are traded or whether funds continually stand ready to sell new units and redeem the outstanding units on demand.

### Collective Investment Vehicle Category

Standard (Vanilla) Investment Funds/Mutual Funds: **I**

Real Estate Investment Trusts: **B**

Pension Funds: **S**

Fund of Funds: **F**

Private Equity Fund: **P**

Attribute Identifier	Description: Closed/Open-End	Description 2
<b>C</b>	Closed-end	I: Units are sold on either an organized exchange or in the over-the-counter market and are usually not redeemed.  S: Pension funds supporting only pension plans that are limited to certain employees.
<b>O</b>	Open-end	I: Funds permanently sell new units to the public and redeem outstanding units on demand, resulting in an increase or decrease of outstanding capital.  S: Pension funds supporting at least one pension plan with no restriction on membership.
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## G. Components Attribute

Attribute Identifier	Description: Instrument Components	Description 2
<b>S</b>	Combination of shares	With different characteristics.
<b>B</b>	Combination of bonds	With different characteristics.
<b>H</b>	Share and bond	
<b>A</b>	Share and warrant	
<b>W</b>	Warrant and warrant (or multiple)	
<b>U</b>	Fund Unit and other components	
<b>M</b>	Others	Miscellaneous
<b>X</b>	Undefined	

## H. Debt Instrument Type Attribute

Attribute Identifier	Description: <b>Debt Instrument Type</b>	Description 2
<b>B</b>	Bond	
<b>C</b>	Convertible Bonds	
<b>W</b>	Bonds with Warrants Attached	
<b>T</b>	Medium Term Notes	
<b>Y</b>	Money Market Instruments	
<b>S</b>	Structured Instruments (Capital Protected)	
<b>E</b>	Structured Instruments (Without Capital Protection)	
<b>G</b>	Mortgage Backed Securities (MBS)	
<b>A</b>	Asset Backed Securities	
<b>N</b>	Municipal Bonds	
<b>D</b>	Depository Receipts on Debt Instruments	
<b>M</b>	Others (Miscellaneous)	
<b>X</b>	Undefined	

## I. Delivery Attribute

Indicates whether the settlement of the option, when exercised is made in cash or whether the underlying instruments are delivered.

### Listed Options Category

Call Options: **C**

Put Options: **P**

Attribute Identifier	Description: <b>Delivery Type</b>	Description 2
<b>P</b>	Physical	The meeting of a settlement obligation under a derivative contract through the receipt or delivery of the actual underlying instrument(s) instead of through cash settlement.
<b>C</b>	Cash	The discharge of an obligation by payment or receipt of a net cash amount instead of payment or delivery by both parties.
<b>N</b>	Non-deliverable	Synthetic options on foreign exchange (FX) forwards that are based on non-convertible or thinly traded currencies.
<b>E</b>	Elect at exercise	The method of delivery of the underlying instrument when the option is exercised shall be determined at the time of exercise.
<b>X</b>	Undefined	

## J. Distribution Attribute

Indicates the cash distribution provided by the structured instrument.

### Equity Category

Structured Instrument (Participation): **Y**

### Debt Instrument Category

Structured Instruments (Capital Protected): **S**

Structured Instruments (Without Capital Protected): **P**

Attribute Identifier	Description: <b>Distribution</b>	Description 2
<b>F</b>	Fixed interest payments	
<b>D</b>	Dividend payments	Y: Depending on strategy of the structured instrument.
<b>V</b>	Variable interest payments	
<b>Y</b>	No payments	
<b>M</b>	Other	
<b>X</b>	Undefined	

## K. Distribution Policy Attribute

Indicates the fund's normal distribution policy.

### Collective Investment Vehicle Category

Standard: **I**

Real Estate Investment Trusts: **B**

Exchange Traded Funds: **E**

Fund of Funds: **F**

Private Equity fund: **P**

Attribute Identifier	Description: <b>Distribution Policy</b>	Description 2
<b>I</b>	Income funds	The fund regularly distributes its investment profits.
<b>G</b>	Accumulation funds	The fund normally reinvests its investment profits.
<b>J</b>	Mixed funds	Investment profits are partly distributed, partly reinvested.
<b>X</b>	Undefined	

## L. Exercise Style (Option) Attribute

### Listed Options Category

Call Option: **C**

Put Option: **P**

Attribute Identifier	Description: <b>Option Exercise Style</b>	Description 2
<b>E</b>	European	Warrant that can only be exercised for a short specified period of time just prior to its expiration, usually a single day.
<b>A</b>	American	Warrant that can be exercised at any time between the purchase date and the expiration date.
<b>B</b>	Bermudan	Warrant that can only be exercised on predetermined dates, usually every month
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## M. Form Attribute

Negotiability, Transmission

### Equities Category

Common/Ordinary Shares: **S**  
 Preferred/Preference Shares: **P**  
 Common/Ordinary Convertible Shares: **C**  
 Preferred/Preference Convertible Shares: **F**  
 Limited Partnership Units: **L**  
 Depository Interest on Equities: **D**  
 Others (Miscellaneous): **M**

### Miscellaneous Category

Combined Instruments: **C**

### Debt Instruments Category

Bonds: **B**  
 Convertible Notes: **C**  
 Bonds with Warrants Attached: **W**  
 Medium Term Notes: **T**  
 Money Market Instruments: **Y**  
 Allotment (Bonus) Rights: **A**  
 Subscription Rights: **S**  
 Purchase Rights: **P**

Attribute Identifier	Description: Form	Description 2
<b>B</b>	Bearer	The owner is not registered in the books of the issuer or of the registrar.
<b>R</b>	Registered	Securities are recorded in the name of the owner on the books of the issuer or the issuer's registrar and can only be transferred to another owner when endorsed by the registered owner.
<b>N</b>	Bearer/registered	Securities are issued in both bearer and registered form but with the same identification number.
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## N. Grouping Attribute

Attribute Identifier	Description: Grouping	Description 2
<b>R</b>	Real estate deeds	Represent ownership of property.
<b>I</b>	Insurance policies	
<b>E</b>	Escrow receipts	Bank guarantee that an option writer has the underlying security on deposit and that the underlying security is readily available for delivery if the option is exercised.
<b>T</b>	Trade finance instruments	Assets based on the securitization of the movement of goods and services.
<b>N</b>	Carbon credit	Certificate or permit representing the right to emit carbon dioxide.
<b>P</b>	Precious metal receipts	
<b>S</b>	Other OTC derivative products	
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## O. Guarantee/Ranking Attribute

Indicates in the case of the issuer's ability to settle, whether the debt issue is additionally secured.

### Debt Instrument Category

Bonds: **B**

Convertible Notes: **C**

Bonds with Warrants Attached: **W**

Medium Term Notes: **T**

Money Market Instruments: **Y**

Mortgaged Backed Securities: **G**

Asset Backed Securities: **A**

Municipal Bonds: **N**

Depository Receipts on Debt Instruments: **D**

Guidelines:

- The values **N** (Senior), **O** (Senior Subordinated), **Q** (Junior) and **J** (Junior Subordinated) may only be used for unsecured securities.
- **P** (Negative Pledge) may only be used for unsecured securities that are neither Senior nor Junior.
- **U** (Unsecured) may be used only if one of these codes does not apply to the relevant security.

Attribute Identifier	Description: <b>Guarantee/Ranking</b>	Description 2
<b>T</b>	Government guarantee	The debt instrument is guaranteed by a federal, state, semi-government sovereigns, agencies.
<b>G</b>	Joint guarantee	The debt instrument is guaranteed by an entity (e.g. corporation) other than the issuer; not a federal or state government.
<b>S</b>	Secured	Debt issue against which specific assets are pledged to secure the obligation, e.g. mortgage or receivables.
<b>U</b>	Unsecured/unguaranteed	The direct obligations of the issuer rest solely on its general credit.
<b>P</b>	Negative pledge	The borrower agrees not to pledge any assets if such pledging would result in less security for the agreement's bond holders.
<b>N</b>	Senior	Applies to senior debts that are placed before senior subordinated, junior and junior subordinated in the ranking in the event of liquidation.
<b>O</b>	Senior subordinated	Applies to senior subordinated debts that are placed before junior and junior subordinated in the ranking in the event of liquidation.
<b>Q</b>	Junior	Applies to junior debts that are placed before junior subordinated in the ranking in the event of liquidation.
<b>J</b>	Junior subordinated	Applies to junior subordinated debts in the ranking in the event of liquidation.
<b>C</b>	Supranational	Organization defined as being beyond the scope or borders of any one nation such as two or more central banks or two or more central governments. Examples of supranational include the United Nations, the European Union, the European Investment Bank and the World Bank.
<b>X</b>	Undefined	

## P. Income Attribute

Indicates the kind of dividend income the shareholders are entitled to.

### Equity Category

Preferred/Preference Shares: **P**

Preferred/Preference Convertible Shares: **F**

Depository Receipts on Equities: **D**

Attribute Identifier	Description: <b>Income</b>	Description 2
<b>F</b>	Fixed rate income	The shareholder periodically receives a stated income.
<b>C</b>	Cumulative fixed rate income	The shareholder periodically receives a stated amount; dividends not paid in any year accumulate and shall be paid at a later date before dividends can be paid on the common/ordinary shares.
<b>P</b>	Participating income	Preferred/preference shareholders, in addition to receiving their fixed rate of prior dividend, share with the common shareholders in further dividend distributions and in capital distributions.
<b>Q</b>	Cumulative participating income	Shareholders are entitled to dividends in excess of the stipulated preferential rate under specified conditions; dividends not paid in any year accumulate and shall be paid at a later date before dividends can be paid on the common/ordinary shares.
<b>A</b>	Adjustable/variable fixed rate income	The dividend rate is set periodically, usually based on a certain yield.
<b>N</b>	Normal rate income	Shareholders are entitled to the same dividends as common/ordinary shareholders but have other privileges. e.g. as regards distribution of assets upon dissolution
<b>U</b>	Auction rate income	Dividend is adjusted through an auction, such as the Dutch auction.
<b>X</b>	Undefined	

## Q. Instrument Dependency Attribute

### Equity Category

Depository Receipts on Equity: **D**

Attribute Identifier	Description: <b>Instrument Dependency</b>	Description 2
<b>S</b>	Common/Ordinary Shares	
<b>P</b>	Referred/Preference Shares	
<b>C</b>	Common/Ordinary Convertible Shares	
<b>F</b>	Preferred/Preference Convertible Shares	
<b>L</b>	Limited Partnership Units	
<b>X</b>	Undefined	



## R. Investment Strategy Attribute

The investment process describes core hedge fund strategy characteristics.

### Collective Investment Vehicle Category

Hedge: H

Attribute Identifier	Description: Investment Strategy	Description 2
D	Directional	The two biggest constituents of directional are Macro and Commodity Trading Advisor (CTA)/Managed Futures; macro describes directional strategies that are based upon the direction of market price of currencies, commodities, equities, fixed income and includes futures and cash markets; (CTA)/Managed Futures describes strategies that are based upon futures contracts across all asset classes only
R	Relative value	Strategies focusing on the spread relationships across various financial assets or commodities; they often utilize leverage and avoid market risk, although spread risk may often be large.
S	Security selection	Strategies typically equity-based and including long/short equity; the manager attempts to make money from superior stock selection by building some combination of long and short positions in such a way to mitigate systematic market risks.
E	Event driven	Combination of investment strategies focusing on securities that are expected to experience a change in valuation due to corporate transactions or events such as bankruptcies.
A	Arbitrage	In economics and finance, arbitrage is the practice of taking advantage of a price difference between two or more markets, striking a combination of matching deals that capitalize upon the imbalance, the profit being the difference between the market prices.
N	Multi strategy	Multi-strategy as a separate set of investment strategies is broad and by it the manager is expected to maintain approximately 25% of portfolio exposure in two or more strategies that are distinct from one another.
L	Asset based lending	Strategy based on providing loans against assets to companies, including the ones viewed as not being credit worthy by commercial banks; the amount of the loan is secured by claims against the borrower's assets and as such it is directly determined by the assets value.
M	Other	Miscellaneous
X	Undefined	

## S. Interest/Payment Type Attribute

### Debt Instrument Category

Bonds: B

Convertible Notes: C

Bonds with Warrants Attached: W

Medium Term Notes: T

Money Market Instruments: Y

Mortgaged Backed Securities: G

Asset Backed Securities: A

Municipal Bonds: N

Depository Receipts (on Debt Instruments): D

Attribute Identifier	Description: <b>Interest/Payment Type</b>	Description 2
<b>F</b>	Fixed rate	All interest payments are known at issuance and remain constant for the life of the issue.
<b>Z</b>	Zero rate/discounted	No periodical interest payments are made; the interest charge (discount) is the difference between maturity value and proceeds at time of acquisition.
<b>V</b>	Variable rate	The interest rate is subject to adjustment through the life of the issue; includes graduated, i.e. step-up/step-down, floating and indexed interest rates.
<b>C</b>	Cash payment	This attributes applies only for sukuk certificates; a sukuk takes place when a set of investors pool their wealth to invest in accordance with sharia principles to earn profits which are then distributed pro-rata.
<b>K</b>	Payment in kind	Pays interest using other assets instead of cash
<b>X</b>	Undefined	

## T. Long/Short Attribute

Indicates whether the instrument entitles the holder to acquire assets at specified terms or to acquire cash in exchange for specific underlying assets.

### Entitlement (Rights) Category

Mini Future Certificates, Constant Leverage Certificates: **F**

Attribute Identifier	Description: <b>Long/Short</b>	Description 2
<b>C</b>	Long	In most cases, the instrument entitles the holder to acquire specific underlying assets during a specified period at a specified price.
<b>P</b>	Short	The instrument entitles the holder to acquire cash in exchange for specific underlying assets.
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## U. Ownership/Transfer/Sales Restrictions Attribute

The ownership or transfer of the security is subject to special conditions including country specific conditions.

### Equity Category

Common/Ordinary Shares: **S**

Common/Ordinary Convertible Shares: **C**

Limited Partnership Units: **L**

### Miscellaneous Category

Combined Instruments: **C**

Attribute Identifier	Description: <b>Ownership/Transfer/Sales Restrictions</b>	Description 2
<b>T</b>	Restrictions	
<b>U</b>	Free (Unrestricted)	
<b>X</b>	Undefined	

## V. Payment Status Attribute

### Equity Category

Common/Ordinary Shares: **S**

Common/Ordinary Convertible Shares: **C**

Limited Partnership Units: **L**

Attribute Identifier	Description: <b>Payment Status</b>	Description 2
<b>O</b>	Nil Paid	
<b>P</b>	Partly Paid	
<b>F</b>	Fully Paid	
<b>X</b>	Undefined	

## W. Redemption/Reimbursement Attribute

Indicates the retirement provisions made for the debt issue.

### Debt Instrument Category

Bonds: **B**

Convertible Notes: **C**

Bonds with Warrants Attached: **W**

Medium Term Notes: **T**

Money Market Instruments: **Y**

Mortgaged Backed Securities: **G**

Asset Backed Securities: **A**

Municipal Bonds: **N**

Depository Receipts (on Debt Instruments): **D**

Attribute Identifier	Description: <b>Redemption</b>	Description 2
<b>F</b>	Fixed maturity	The principal amount is repaid in full at maturity.
<b>G</b>	Fixed maturity with call feature	The issue may be called for redemption prior to the fixed maturity date.
<b>C</b>	Fixed maturity with put feature	The holder may request the reimbursement of his bonds prior to the maturity date.
<b>D</b>	Fixed maturity with call and put	
<b>A</b>	Amortisation plan	Reduction of principal by regular payments.
<b>B</b>	Amortisation plan with call feature	The redemption of principal may occur as the result of the outstanding portion of the bond being called.
<b>T</b>	Amortisation plan with put feature	
<b>L</b>	Amortisation plan with call and put	
<b>P</b>	Perpetual	The debt instrument has no fixed maturity date and is only due for redemption in the case of the issuer's liquidation.
<b>Q</b>	Perpetual with call feature	The issue may be called for redemption at some time in the future.
<b>R</b>	Perpetual with put feature	The issue may be puttable for redemption at some time in the future.
<b>E</b>	Extendible	
<b>X</b>	Undefined	

## X. Redemption/Conversion Attribute

Indicates the retirement provisions made for the shares.

### Equity Category

Preferred/Preference Shares: **P**

Preferred/Preference Convertible Shares: **F**

Depository Receipts on Equities: **D**

Attribute Identifier	Description: <b>Redemption/Conversion</b>	Description 2
<b>B</b>	Convertible	D: Conversion of the underlying assets.
<b>D</b>	Convertible/Redeemable	D: Conversion of the underlying assets.
<b>R</b>	Redeemable	The shares may be redeemed at the option of the issuer and/or of the shareholder.
<b>E</b>	Extendible	The redemption date can be extended at the issuer or holder option.
<b>T</b>	Redeemable/Extendible	The issuer and/or holders of redeemable shares with a fixed maturity date have the option to extend the maturity date.
<b>G</b>	Exchangeable	The shares may be exchanged for securities of another issuer.
<b>A</b>	Redeemable/Extendible/Transferable	The issuer and/or holders of redeemable shares with a fixed maturity date have the option to extend the maturity date and the shares may be exchanged for securities of another issuer.
<b>C</b>	Redeemable/Exchangeable	The shares may be redeemed at the option of the issuer and/or of the shareholder and may be exchanged for securities of another issuer.
<b>N</b>	Perpetual	The share has no fixed maturity date.
<b>X</b>	Undefined/Not Applicable	

## Y. Repayment Attribute

Indicates the repayment form provided by the structured instrument.

### Equity Category

Structured Instruments (Participation): **Y**

### Debt Instrument Category

Structured Instruments (Capital Protected): **S**

Structured Instruments (Without Capital Protection): **E**

Attribute Identifier	Description: <b>Repayment</b>	Description 2
<b>F</b>	Cash Repayment	S: Fixed Cash Repayment (Only protected capital level)
<b>E</b>	Repayment in Cash	E: Depending on the underlying, if the barrier is not breached
<b>S</b>	Repayment in Assets	E
<b>V</b>	Physical repayment	Y
	Variable Cash Repayment	S: Protected capital level and additional performance capital depending on the underlying
<b>C</b>	Repayment in Assets and Cash	For Structured Instruments (without capital protection)
<b>E</b>	Elect at settlement	Determined at the time of settlement.
<b>T</b>	Repayment in Assets or Cash	For Structured Instruments (without capital protection)

Attribute Identifier	Description: <b>Repayment</b>	Description 2
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## Z. Rights (Entitlements) Attribute

Attribute Identifier	Description: <b>Rights (Entitlements)</b>	Description 2
<b>A</b>	Allotment (Bonus) Rights	
<b>S</b>	Subscription Rights	
<b>P</b>	Purchase Rights	
<b>W</b>	Warrants	
<b>F</b>	Mini Future Certificates, Constant Leverage Certificates	
<b>D</b>	Depository Receipts on Entitlements	
<b>M</b>	Others (Miscellaneous)	
<b>X</b>	Undefined	

## AA. Security Type (and Investors Restrictions) Attribute

### Collective Investment Vehicle Category

Standard: **I**

Real Estate Investment Trusts: **B**

Exchange Traded Funds: **E**

Pension Fund: **S**

Fund of Funds: **F**

Private Equity fund: **P**

Attribute Identifier	Description: <b>Security Type</b>	Description 2
<b>S</b>	Shares	Retail and/or qualified/institutional/professional investors.
<b>Q</b>	Shares for QI (qualified investor)	Qualified/institutional/professional investors only.
<b>U</b>	Units	Retail and/or qualified/institutional/professional investors.
<b>Y</b>	Units for QI (qualified investor)	Qualified/institutional/professional investors only.
<b>X</b>	Undefined	

## BB. Strategy/Style Attribute

### Collective Investment Vehicle Category

Pension Fund: **S**

Attribute Identifier	Description: <b>Strategy/Style</b>	Description 2
<b>B</b>	Balanced/Conservative	
<b>G</b>	Growth	
<b>L</b>	Lifestyle	Strategy changes depending on age group of member.
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## CC. Standardisation Attribute

Indicates whether the terms of the contract are standardized or not.

### Listed Options Category

Call Option: **C**

Put Option: **P**

### Futures Category

Financial Futures: **F**

Commodities Futures: **C**

Attribute Identifier	Description: <b>Standardisation</b>	Description 2
<b>S</b>	Standardised	The underlying instruments, exercise price, expiration date and contract size of the options are standardized; these options are traded on special option exchanges.
<b>N</b>	Non-standardised	Options traded on option exchanges which have non-standard delivery or expiry terms.
<b>X</b>	Undefined	

## DD. Type1 – Participation Attribute

### Equity Category

Structured Instruments (Participation): **Y**

Attribute Identifier	Description: <b>Participation Type</b>	Description 2
<b>A</b>	Tracker certificate	Participation in development of the underlying asset(s); reflects underlying price moves 1:1 (adjusted by conversion ratio and any related fees); risk is comparable to direct investment in the underlying asset(s)
<b>B</b>	Outperformance certificate	Participation in development of the underlying asset(s); disproportionate participation (outperformance) in positive performance above the strike; reflects underlying price moves 1:1 (adjusted by conversion ratio and any related fees); risk is comparable to direct investment in the underlying asset(s)
<b>C</b>	Bonus certificate	Participation in development of the underlying asset(s); minimum redemption is equal to the nominal value provided the barrier has not been breached; if the barrier is breached, the product changes into a tracker certificate; with greater risk multiple underlying asset(s) (worst-of) allow for a higher bonus level or lower barrier; reduced risk compared to a direct investment into the underlying asset(s)
<b>D</b>	Outperformance bonus certificate	Participation in development of the underlying asset(s); disproportionate participation (outperformance) in positive performance above the strike; minimum redemption is equal to the nominal value provided the barriers has not been breached; if the barrier is breached, the product changes into a tracker certificate; with greater risk multiple underlying asset(s) (worst-of) allow for a higher bonus level or lower barrier; reduced risk compared to a direct investment into the underlying asset(s)
<b>E</b>	Twin win certificate	Participation in development of the underlying asset(s);

Attribute Identifier	Description: <b>Participation Type</b>	Description 2
		profits possible with rising and falling underlying asset values; falling underlying asset price converts into profit up to the barrier; minimum redemption is equal to the nominal value provided the barrier has not been breached; if the barrier is breached the product changes into a tracker certificate; with higher risk levels, multiple underlying asset(s) (worst-of) allow for a higher bonus level or lower barrier; reduced risk compared to a direct investment into the underlying asset(s)
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## EE. Type2 Attribute

### Collective Investment Vehicle Category

Pension Fund: **S**

Attribute Identifier	Description: <b>Type</b>	Description 2
<b>R</b>	Defined benefit	
<b>B</b>	Defined contribution	
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## FF. Type3 Attribute

### Debt Instrument Category

Structured Instruments (Capital Protected): **S**

Mortgage Backed Securities: **G**

Asset Backed Securities: **A**

Municipal Bonds: **N**

Attribute Identifier	Description: <b>Capital Protection</b>	Description 2
<b>A</b>	Capital protection certificate (with participation)	Minimum redemption at expiry equivalent to the capital protection; capital protection is defined as a percentage of the nominal amount (e.g. 100%); capital protection refers to the nominal amount only and not to the purchase price; the value of the product may fall below its capital protection value during its lifetime; participation is in the underlying price increase above the strike.
<b>B</b>	Capital protection convertible certificate	Minimum redemption at expiry equivalent to the capital protection; capital protection is defined as a percentage of the nominal price (e.g. 100%); capital protection refers to the nominal price only and not to the purchase price; the value of the product may fall below its capital protection value during its lifetime; participation is in the underlying price increase above the conversion price; coupon payment is possible.
<b>C</b>	Barrier capital protection certificate	Minimum redemption at expiry equivalent to the capital protection; capital protection is defined as a percentage of the nominal price (e.g. 100%); capital protection refers to the nominal amount only and not to the purchase price;



Attribute Identifier	Description: Capital Protection	Description 2
		the value of the product may fall below its capital protection value during its lifetime; participation is in the underlying price increase above the strike up to the barrier; possibility of rebate payment once barrier is breached; limited profit potential.
<b>D</b>	Capital protection certificate with coupon	Minimum redemption at expiry equivalent to the capital protection; capital protection is defined as a percentage of the nominal price (e.g. 100%); capital protection refers to the nominal amount only and not to the purchase price; the value of the product may fall below its capital protection value during its lifetime; The coupon amount is dependent on the development of the underlying asset; periodic coupon payment is expected.
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## GG. Type4 Attribute

### Debt Instrument Category

Structured Instruments (without capital protection): **E**

Attribute Identifier	Description: Type	Description 2
<b>A</b>	Discount certificate	Should the underlying asset close below the strike on expiry, the underlying asset(s) and/or a cash amount is redeemed; discount certificates enable investors to acquire the underlying asset at a lower price; it corresponds to a buy-write-strategy; it has reduced risk compared to a direct investment into the underlying asset; with higher risk levels, multiple underlying assets (worst-of) allow for higher discounts; limited profit opportunity (Cap).
<b>B</b>	Barrier discount certificate	The maximum redemption amount (Cap) is paid out if the barrier is never breached; barrier discount certificates enable investors to acquire the underlying asset(s) at lower price; due to the barrier, the probability of maximum redemption is higher; the discount, however, is smaller than for a discount certificate; if the barrier is breached, the product changes into a discount certificate; it has reduced risk compared to a direct investment into the underlying asset; limited profit potential (Cap); with higher risk levels multiple underlying assets (worst-of) allow for higher discounts or a lower barrier.
<b>C</b>	Reverse convertible	Should the underlying asset close below the strike on expiry, the underlying asset(s) and/or a cash amount is redeemed; should the underlying asset close above the strike at expiry, the nominal amount plus the coupon is paid at redemption; the coupon is paid regardless of the underlying development; it has reduced risk compared to a direct investment into the underlying asset; with higher risk levels, multiple underlying assets (worst-of) allow for higher coupons; limited profit potential (Cap).
<b>D</b>	Barrier reverse convertible	Should the barrier never be breached, the nominal price plus coupon is paid at redemption; due to the barrier, the



Attribute Identifier	Description: Type	Description 2
		probability of maximum redemption is higher; the coupon, however, is smaller than for a reverse convertible; if the barrier is breached the product changes into a reverse convertible; the coupon is paid regardless of the underlying development; it has reduced risk compared to a direct investment in the underlying asset(s); with higher risk levels, multiple underlying asset (worst-of) allow for higher coupons or lower barriers; limited profit potential (Cap).
<b>E</b>	Express certificate	Should the underlying trade above the strike on the observation date, an early redemption consisting of nominal price plus an additional coupon amount is paid; it offers the possibility of an early redemption combined with an attractive yield opportunity; it has reduced risk compared to a direct investment in the underlying asset(s); with higher risk levels, multiple underlying assets (worst-of) allow for higher coupons or lower barriers; limited profit opportunity (Cap).
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## HH. Type5 Attribute

### Debt Instrument Category

Others (Miscellaneous): **M**

Attribute Identifier	Description: Type	Description 2
<b>B</b>	Bank loan	An amount of money loaned at interest by a bank to a borrower, usually on collateral security for a certain period of time.
<b>P</b>	Promissory note	Written promise by one party a definite sum of money either on demand or at a specified future date.
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## II. Type6 Attribute

Indicates whether the warrant is issued by the issuer of the underlying instrument.

Attribute Identifier	Description: Type	Description 2
<b>T</b>	Traditional	Issued by the issuer of the underlying issuer.
<b>N</b>	Naked	Issued by a third party which is not the issuer of the underlying securities to which the warrant refers; warrant issuer does not hold as many securities as would be required if all the warrants are exercised.
<b>C</b>	Covered	Issued by a third party which is not the issuer of the underlying securities to which the warrant refers; warrant issuer holds as many securities as would be required if all the warrants are exercised.
<b>X</b>	Undefined	

## JJ. Underlying Asset 1 Attribute

Indicates the type of underlying asset(s) in which the structured instrument participates/Indicates the type of underlying assets that the warrant holder is entitled to acquire/Indicates the type of underlying assets that the option/futures holder is entitled to acquire.

### Equities Category

Structured Instruments (Participation): **Y**

### Debt Instruments Category

Structured Instruments (Capital Protected): **S**

Structured Instruments (Without Capital Protected): **P**

### Entitlement/Rights Category

Warrants: **W**

Mini-Futures Certificates, Constant Leverage Certificates: **F**

### Listed Options Category

Call Option: **C**

Put Options: **P**

### Futures Category

Financial Futures: **F**

Attribute Identifier	Description: <b>Underlying Asset</b>	Description 2
<b>B</b>	Baskets	Y: Group of securities that have been put together for a specific investment purpose.  W: The warrant holder is entitled to acquire a package or group of assets.
<b>S</b>	Equities	W: The warrant holder is entitled to acquire equity.
<b>D</b>	Debt instruments/Interest rates	W: the warrant holder is entitled to acquire debt instruments.
<b>G</b>	Derivatives	Y: (options, futures, swaps, spot, forwards, strategies, financing)
<b>T</b>	Commodities	W: The warrant holder is entitled to acquire a specific commodity.
<b>C</b>	Currencies	Y, S, P: Specified exchange rate.  W: The warrant holder is entitled to acquire a specified amount in a certain currency at a specified exchange rate.
<b>I</b>	Indices	Y, S, P: The performance of an index.  W: The warrant holder is entitled to acquire a specified amount based on the performance of an index.
<b>N</b>	Interest rates	Y, S, P: Specified amount based on the future level of interest rates.
<b>O</b>	Options	
<b>F</b>	Futures	
<b>W</b>	Swaps	
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## KK. Underlying Asset 2 Attribute

### Futures Category

Commodities Futures: **C**

Attribute Identifier	Description: <b>Underlying</b>	Description 2
<b>E</b>	Extraction resources	Metals, Precious Metals, Coal, Oil, Gas
<b>A</b>	Agriculture	Commodities which include forestry, fishing, livestock, grain, dairy, corn, cocoa, soybeans, sugar, coffee.
<b>I</b>	Industrial products	Construction, Manufacturing
<b>S</b>	Services	Transportation, Communication, Trade
<b>N</b>	Environmental	Includes carbon-related, emission reduction, weather.
<b>P</b>	Polypropylene products	Includes plastics.
<b>H</b>	Generated resources	Includes electricity, renewable energy, or any power/energy delivered through a utility network or provider.
<b>M</b>	Other	Miscellaneous
<b>X</b>	Undefined	

## LL. Voting Right Attribute

Indicates the kind of voting power conferred to the shareholder.

### Equity Category

Common/Ordinary Shares: **S**

Preferred/Preference Shares: **P**

Common/Ordinary Convertible Shares: **C**

Preferred/Preference Convertible Shares: **F**

Limited Partnership Units: **L**

Attribute Identifier	Description: <b>Voting Right</b>	Description 2
<b>V</b>	Voting	Each share has one vote.
<b>N</b>	Non-voting	The shareholder has no voting right.
<b>R</b>	Restricted voting	The shareholder may be entitled to less than one vote per share.
<b>E</b>	Enhanced voting	The shareholder is entitled to more than one vote per share.
<b>X</b>	Undefined	

## MM. X: Undefined Attribute

Attribute Identifier	Description: <b>Undefined</b>	Description 2
<b>X</b>	Undefined	

## Manual Updates History

Date	ASX Market Information Notice	Page(s)	Changes Made
January 2018			First version.
April 2018	22/18	6, 7	Added information on Austraclear FII files.

# Contact Details

## ReferencePoint Content & System Support

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